



ROCIS HOW-TO GUIDE FOR AGENCY USERS OF THE EO 13771 MODULE

July 10, 2018

Regulatory Information Service Center
(RISC)

ROCIS How-To Guide for Agency Users of the EO 13771 Module
Regulatory Information Service Center (RISC)

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1. HOW TO LOG INTO ROCIS

If you are logging into the live, production system, please point your browser to www.rocis.gov.

Read and click the acknowledgement button on the For Official Use Only Warning Screen.



Figure 1.1: For Official Use Only Warning Screen

Enter your User ID (normally, your first initial and last name) and password and click the Login button.

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Help Desk: 1-866-450-5250

ROCIS.GOV Training

Welcome to ROCIS

Login

User Name

Password

LOGIN

User Information and How to Guides:

Unified Agenda Users:
Regulatory Information Data (RID) Forms and Instructions
ROCIS How to Guide for Agenda Users revised August 2017 [PDF](#)

E.O.Reg Review Users:
ROCIS How to guide for EO Regulatory Review Users revised August 2017 [PDF](#)

Information Collection Review (ICR) Users:
ROCIS How to guide for PRA Users revised August 2017 [PDF](#)

Privacy Module Users:
ROCIS How to guide for Privacy Users revised August 2017 [PDF](#)

Training Information:

Unified Agenda & Reg Plan:
Training Dates and Enrollment Procedures 201705

EO Reg Review, PRA and Privacy training:
EO PRA Privacy Training Info 201708

Browsers:

ROCIS Minimum Browser Requirements: Internet Explorer 9.0, Mozilla Firefox 40, or Google Chrome 45

ROCIS will not work properly in Compatibility View for Internet Explorer 9+ users. If you're experiencing issues with ROCIS, [click here](#) for instructions on how to turn off Compatibility View and clear your internet browser cache in Internet Explorer 9. You may have to contact your IT support to access these settings.

Tips to clear browser cache:
Internet Explorer: Select Tools > Internet Options > Delete > Uncheck "Preserve Favorites website data" > Check "Temporary Internet Files", "Cookies" and "History" > Delete

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Figure 1.2: Login Screen

ROCIS requires a second layer of authentication, in addition to your user name and password. After logging in with your user name and password, ROCIS will ask you to enter the MFA token to gain access.

The MFA token is a 6-character code generated at login and emailed to the user's email address in ROCIS. The MFA token must be entered into ROCIS within 10 minutes, starting from when your user name and password were authenticated.

Validated tokens are good for 12-hours. You will only need your user name and password to gain access during the 12-hour period after the MFA token is validated.

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ROCIS.GOV Training

ROCIS Multi-Factor Authentication

Please check your email for the system generated MFA Token and enter here. The token will expire in 10 minutes. Before the token expires, you have 5 chances to enter the correct token.

If you have not received the email from ROCIS, please contact RISC management (risc@gsa.gov). If Multi-Factor Authentication fails, you will be re-directed to the ROCIS Login page and try again.

Enter MFA Token

Email: charmwell.ho@cyberdatainc.com

User Name: cybertester

MFA Token

SUBMIT

Help Desk: 1-866-450-5250

User Information and How to Guides:

Unified Agenda Users:
Regulatory Information Data (RID) Forms and Instructions
ROCIS How to Guide for Agenda Users revised September 2015

E.O.Reg Review Users:
ROCIS How to guide for EO Regulatory Review Users revised August 2013

Information Collection Review (ICR) Users:
ROCIS How to guide for PRA Users revised August 2013

Privacy Module Users:
ROCIS How to guide for Privacy Users revised December 2015

Training Information:

Unified Agenda & Reg Plan:
Training dates and Enrollment procedures

EO Reg Review, PRA and Privacy training:
EO PRA Privacy Training Info 201601

Browsers:

ROCIS Minimum Browser Requirements: Internet Explorer 9.0, Mozilla Firefox 40, or Google Chrome 45

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Tips to clear browser cache:
Internet Explorer: Select Tools > Internet Options > Delete > Uncheck "Preserve Favorites website data" > Check "Temporary Internet Files", "Cookies" and "History" > Delete

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Figure 1.3: Multi-Factor Authentication Screen

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Select green arrow for 'EO 13771' to use the EO 13771 module.

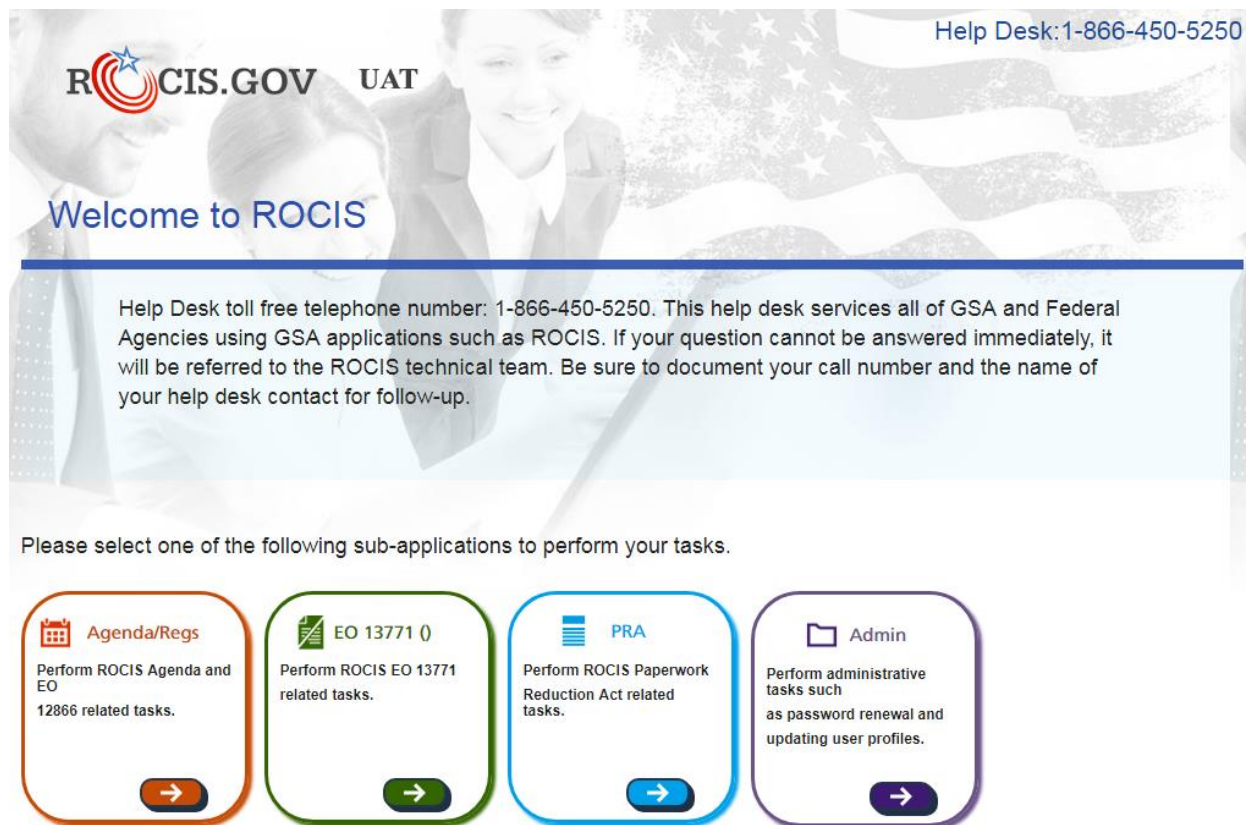


Figure 1.4: ROCIS Broadcast Message Screen

2. HOW TO CHANGE YOUR PASSWORD

Whenever your password is reset or your password has expired, the system will force you to change your password when you log in. On this 'Change Password' screen, you will need to enter your new password twice. Be sure that your new password conforms to all of the rules given for password formation. Click the 'Change Password' button. You will receive a confirmation message from the system indicating that your password has been changed.

ROCIS.GOV UAT

Help Desk: 1-866-450-5250

Change Password

Mandatory fields marked *

New Password : *

Confirm New Password : *

Password Strength : Password not entered

[SAVE](#) [CANCEL](#)

*Password length should be between 8 and 14 characters. Password must contain at least one alphabetic, one numeric and one special character.

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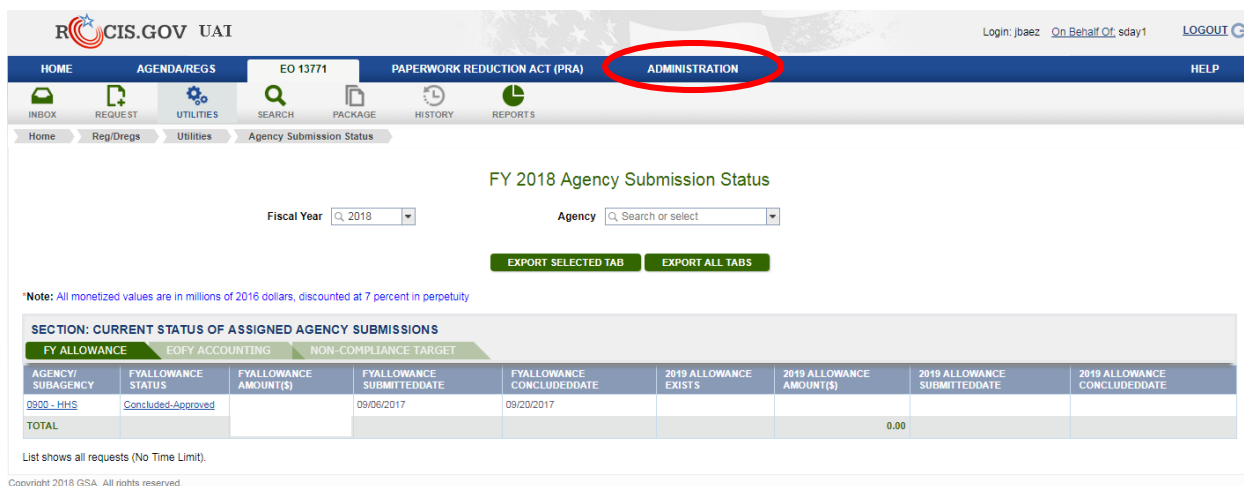


Figure 2.1: Change Password Screen for New Account

Your ROCIS password will expire in 90 days. Starting 2 weeks before it expires; ROCIS will remind to change your password when you log in. To change your password, click the 'Administration' link/tab at the top of any page choose 'Change Password' from the navigation toolbar.

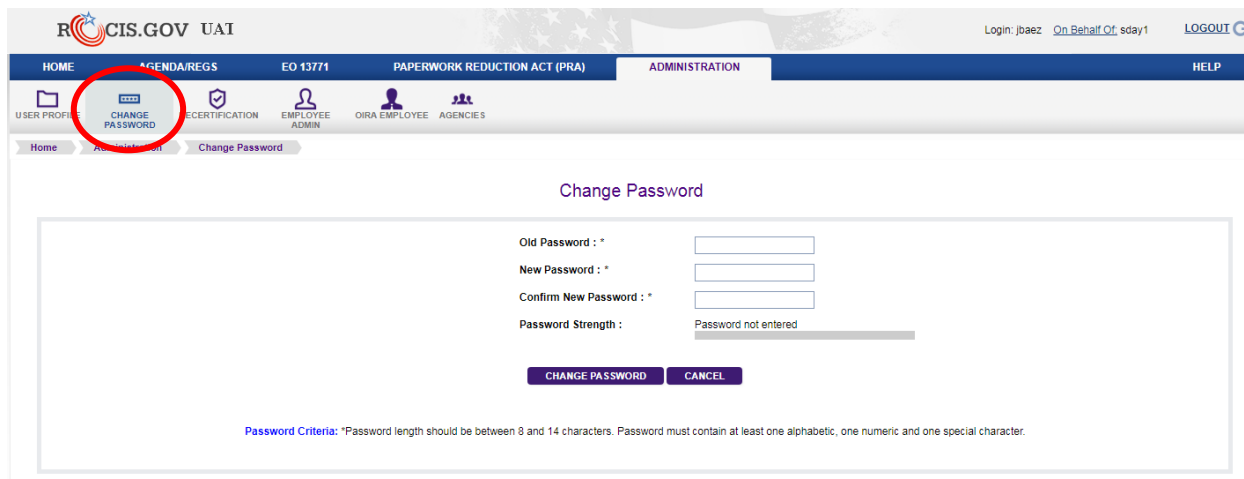
ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)



The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), and **ADMINISTRATION** (highlighted with a red circle). Below this, a secondary navigation bar shows INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'FY 2018 Agency Submission Status' and includes a 'Fiscal Year' dropdown set to 2018 and an 'Agency' dropdown. There are buttons for 'EXPORT SELECTED TAB' and 'EXPORT ALL TABS'. A note states: 'All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. Below this is a section titled 'SECTION: CURRENT STATUS OF ASSIGNED AGENCY SUBMISSIONS' with tabs for 'FY ALLOWANCE', 'EO/FY ACCOUNTING', and 'NON-COMPLIANCE TARGET'. The 'FY ALLOWANCE' tab is active, showing a table with columns for Agency/Subagency, FY Allowance Status, FY Allowance Amount(\$), FY Allowance Submitted Date, FY Allowance Concluded Date, 2019 Allowance Exists, 2019 Allowance Amount(\$), 2019 Allowance Submitted Date, and 2019 Allowance Concluded Date. The table shows one entry for '0900 - HHS' with a status of 'Concluded-Approved' and a total amount of 0.00. A footer note says 'List shows all requests (No Time Limit)' and 'Copyright 2018 GSA. All rights reserved.'

Figure 2.2: Administration Module Tab

You will need to enter your old password, your new password (must be at least 8 characters, must have one number and one special character) in both boxes as indicated. Click the 'Change Password' button. When you get the confirmation screen, click 'OK'. Please do not share your password with anyone—this would be a violation of the Security Agreement that you signed and could result in the loss of your access to ROCIS.



The screenshot shows the ROCIS.GOV UAT interface with the 'ADMINISTRATION' tab selected. The 'CHANGE PASSWORD' icon in the left sidebar is highlighted with a red circle. The main content area is titled 'Change Password' and contains a form with the following fields: 'Old Password : *', 'New Password : *', 'Confirm New Password : *', and 'Password Strength :'. The 'Password Strength' field shows 'Password not entered'. There are 'CHANGE PASSWORD' and 'CANCEL' buttons at the bottom. A note at the bottom states: 'Password Criteria: *Password length should be between 8 and 14 characters. Password must contain at least one alphabetic, one numeric and one special character.'

Figure 2.3: Change Password Icon and Screen

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3. HOW TO REVIEW AND CHANGE YOUR USER PROFILE

Upon successful login, you should arrive at your Inbox. If you are an Agency user, you will arrive in your Created Request List. Take a moment to look at your tabs and sub tabs at the top of the screen. Select User Profile from the Admin drop down on the top line. The User Profile tab provides you a place to view and update your user information.

ROCIS.GOV UA1 Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) **ADMINISTRATION** HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration User Profile

User Detail

* Denotes Required Field.

Personal Information

Prefix

* First Name

Middle Name

* Last Name

Suffix

Title

Agency / Sub Agency HHS

* Agency

Sub Agency

Account Information

Employee Number 139677

* User Login sday1

* User Encrypted Password 2kGumgkIC37A

Communications

Telephone, TDD and Fax must contain exactly 10 digits and can be separated by (), - or a blank.
Such as 900-999-9999, (900)9999999, 900 999 9999 and 9999999999

* Telephone Ext.

TDD

Fax

* E-Mail

Address

Street Address

City

State

Zip

User Roles

* Selected Roles

- AUTHORIZED PAPERWORK CONTACT (APC) - 0900 HHS
- AUTHORIZED PAPERWORK CONTACT (APC) - 0905 PHS
- AUTHORIZED PAPERWORK CONTACT (APC) - 0906 HRSA
- AUTHORIZED PAPERWORK CONTACT (APC) - 0907 PSC (I)
- AUTHORIZED PAPERWORK CONTACT (APC) - 0910 FDA
- AUTHORIZED PAPERWORK CONTACT (APC) - 0915 HSA
- AUTHORIZED PAPERWORK CONTACT (APC) - 0917 IHS
- AUTHORIZED PAPERWORK CONTACT (APC) - 0919 AHRQ (I)
- AUTHORIZED PAPERWORK CONTACT (APC) - 0920 CDC
- AUTHORIZED PAPERWORK CONTACT (APC) - 0923 TSDR

SAVE CANCEL

Figure 3.1: Administration Tab and User Profile Icon

Upon initial entry, please verify and make appropriate changes to any information, paying particular attention to your telephone number and email. Then, be sure to save your information. The Save button is at the bottom of the screen.

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Please be sure to return to the User Profile to modify your personal information, such as your phone number or email address, whenever changes occur.

Your profile will also display the role(s) that have been assigned to your user id. A complete discussion of the agency EO 13771 roles can be found in Appendix A.

To leave the User Profile page, scroll to the bottom and click 'Save' (if you changed anything) or 'Cancel'. This will take you back to the ROCIS Employee Administration screen.

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4. HOW TO USE THE ROCIS EMPLOYEE ADMINISTRATION SEARCH

The purpose of the Employee Admin screen is to allow ROCIS users to find other ROCIS users via the search capability. For instance, if you would like to send another agency's RDR Agency Admin (RDRA) an email, you are able to search on the RDRA role for the agency and receive a list of contacts. If you are an RDR Preparer (RDRP) and need to find an RDR Manager or RDR Agency Admin to submit your EO 13771 request to OIRA for review, use this page.

If an RDR Agency Admin wants to identify a list of RDR Managers or RDR Preparers (RDRM or RDRP) for his/her agency, this is the screen from which to do the search. If you are the RDR Agency Admin, it is a good idea to periodically check the authorized users for your agency.

The screenshot shows the ROCIS Employee Administration search interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. The 'EMPLOYEE ADMIN' icon is highlighted with a red circle. The search form contains the following fields and options:

- User ID:
- Agency: Search or select
- SubAgency: Search or select
- Role: Search or select
- Last Name:
- First Name:
- Employee Number:
- Search Range: ☒ Users, ☐ Contacts, ☐ Both Users and Contacts
- Buttons: SEARCH, CREATE A NEW CONTACT

Below the form is a table with the following columns: Agency, Name, Emp No, User ID, Phone Number, Email, Inactivate, and Locked. The table currently displays "No data available in table".

Figure 4.1: Employee Admin Icon and Screen

To use this screen, enter the desired agency code and/or select the desired user role from the Role drop-down list and click the 'Search' button.

If the resulting list reflects users who have left your agency and still have active accounts, please contact the ROCIS Help Desk at 866-450-5250 so that the accounts can be deactivated.

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5. HOW TO USE THE AGENCY SUBMISSION STATUS PAGE

When you arrive in the ROCIS EO 13771 module after successfully logging in, you'll be in the Agency Submission Status page, with a row of additional tabs to choose from. This page will always show you the current status of your agency's yearly EO 13771 submissions (i.e. FY Allowance, EOFY Accounting and Non-compliance Target). See below for more information about these yearly EO 13771 requests.

Your default view is the FY Allowance tab for all of the agencies you are assigned to in ROCIS for the current fiscal year. You can change the fiscal year, or select a specific agency (depending on your access in ROCIS) to modify your view. The FY Allowance tab shows information about the selected agency's FY regulatory cost caps for the selected fiscal year and the following fiscal year.

The screenshot shows the ROCIS GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), and ADMINISTRATION. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled "FY 2018 Agency Submission Status". It features a "Fiscal Year" dropdown set to 2018 and an "Agency" search field. There are two buttons: "EXPORT SELECTED TAB" and "EXPORT ALL TABS". A note states: "Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity". Below the note is a tabbed interface with three tabs: "FY ALLOWANCE" (highlighted with a red circle), "EOFY ACCOUNTING", and "NON-COMPLIANCE TARGET". The "FY ALLOWANCE" tab displays a table with the following data:

AGENCY	ALLOWANCE STATUS	FY ALLOWANCE AMOUNT(\$)	FY ALLOWANCE SUBMITTEDDATE	FY ALLOWANCE CONCLUDEDDATE	2019 ALLOWANCE EXISTS	2019 ALLOWANCE AMOUNT(\$)	2019 ALLOWANCE SUBMITTEDDATE	2019 ALLOWANCE CONCLUDEDDATE
0900 - HHS	Concluded-Approved		09/06/2017	09/20/2017				
TOTAL						0.00		

Below the table, it says "List shows all requests (No Time Limit)." and "Copyright 2018 GSA. All rights reserved."

Figure 5.1: Agency Submission Status (FY Allowance Tab)

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The EOFY Accounting tab displays information about your agency's final EO 13771 accounting for the selected fiscal year including YTD totals and compliance metrics.

If your agency has multiple sub-agencies setup in ROCIS, you can click the Agency Code/Acronym link in the first column of the list to see a breakdown by sub-agency.

FY 2018 Agency Submission Status

Fiscal Year: Agency:

[EXPORT SELECTED TAB](#) [EXPORT ALL TABS](#)

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

SECTION: CURRENT STATUS OF ASSIGNED AGENCY SUBMISSIONS

FY ALLOWANCE		EOFY ACCOUNTING		NON-COMPLIANCE TARGET											
AGENCY/ SUBAGENCY	EOFY ACCOUNTING STATUS	EOFY ACCOUNTING SUBMITTEDDT	EOFY ACCOUNTING CONCLUDEDDT	2019 EOFY ACCOUNTING EXISTS	DEREGULATORY ACTIONS COUNT	REGULATORY ACTIONS COUNT	OTHER WITH COST ACTIONS COUNT	OTHER WITH COST SAVINGS ACTIONS COUNT	PRIOR YR CARRYOVER(\$)	ANNUALIZED COSTS /SAVINGS(\$)	PRESENT VALUE COSTS(\$)	WAIVER/ EXEMPTIONS AMOUNT(\$)	NET INTER- AGENCY TRANSFERS(\$)	FY ACCOUNTING(\$)	ACCTBAL - INTER- AGENCY- XFERS(\$)
0900 - HHS	Not Created														
0905 - PHS															
0906 - HRSA															
0907 - PSC															
0910 - FDA															
0915 - HSA															
0917 - IHS															
0919 - AHRQ															
0920 - CDC															
0923 - TSDR															
0925 - NIH															
0930 - SAMHSA															
0935 - AHRQ															
0936 - OIG															
0937 - OASH															
0938 - CMS															
0940 - OPHS															
0945 - OCR															
0950 - OCIO															
0955 - ONC															
0970 - ACF															
0980 - HDSO															
0985 - ACL															
0990 - HHSDM															
0991 - OS															
0992 - OFA															
TOTAL															

List shows all requests (No Time Limit).

Figure 5.2: Agency Submission Status (EOFY Accounting Tab) with Expanded Agency List

The Non-compliance Target tab shows information about the selected agency's non-compliance target plan (i.e. agency's plan to recover regulatory costs carried over from previous years) for the selected fiscal year and the following fiscal year.

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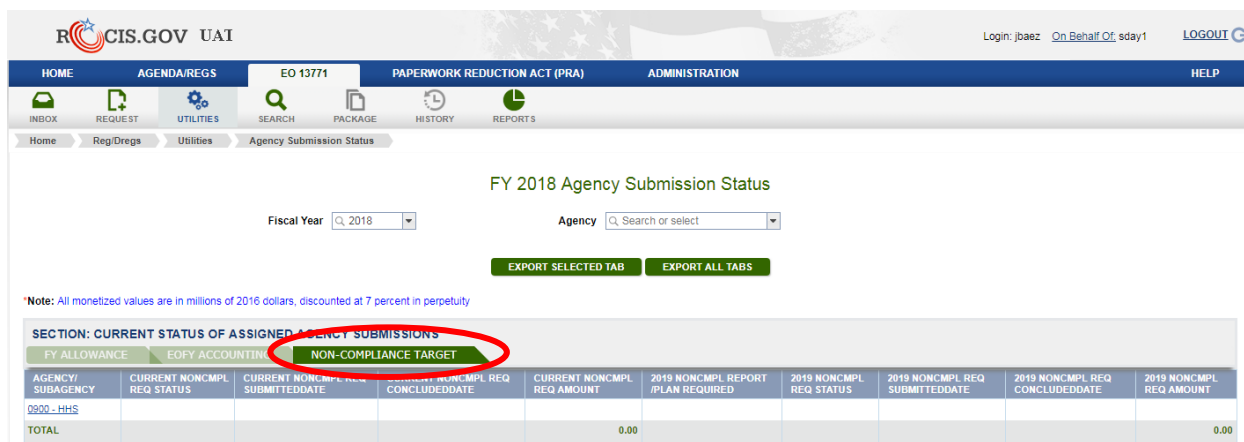


Figure 5.3: Agency Submission Status (Non-compliance Target Tab)

The selected tab displayed on the screen can be exported to MS Excel using the 'Export Selected Tab' button. You can also export all 3 tabs at once using the 'Export All Tabs' button.

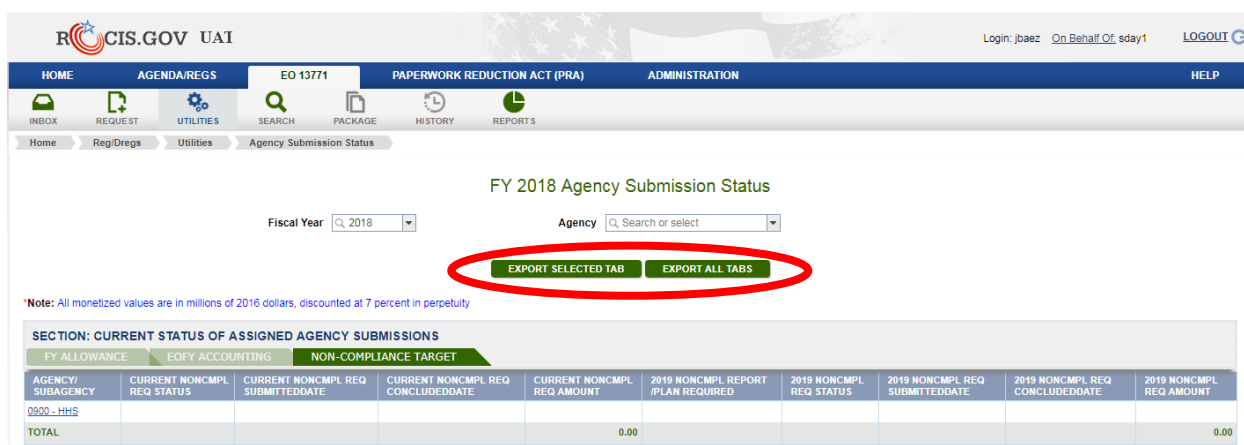


Figure 5.4: Agency Submission Status and Export Buttons

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6. HOW TO USE THE INBOX AND THE NAVIGATION TOOLBAR

When you're in ROCIS, there is a tab at the top for each of the modules you have access to. Under the EO 13771 tab, there is a row of icons that starts with your Inbox. We call this the module's navigation toolbar. Each icon is a menu of links, or a direct link, to different pages in ROCIS.

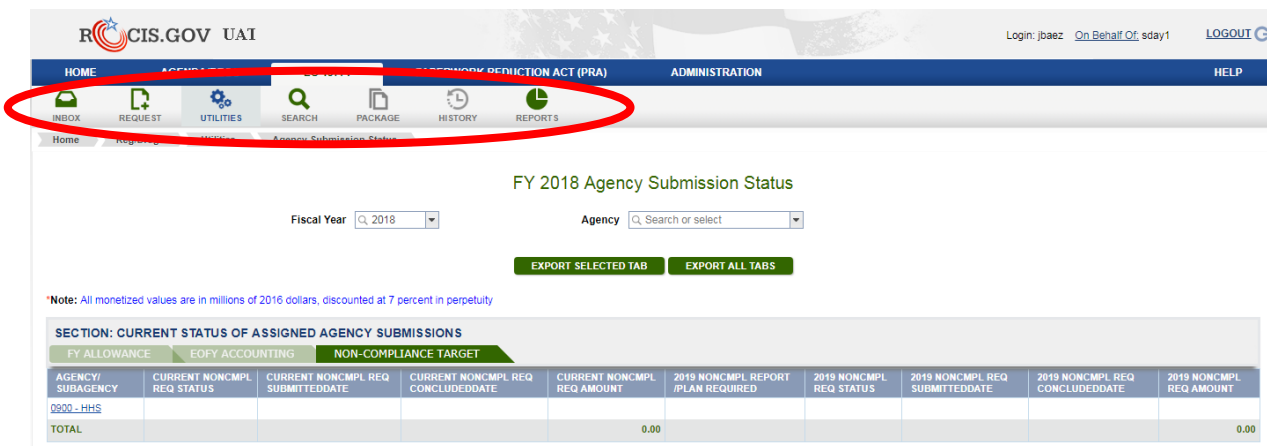


Figure 6.1: Agency Submission Status Screen (Navigation Toolbar)

The first menu is for your Inbox. Your Inbox has six components, all of which can be viewed by moving your mouse over the Inbox tab.

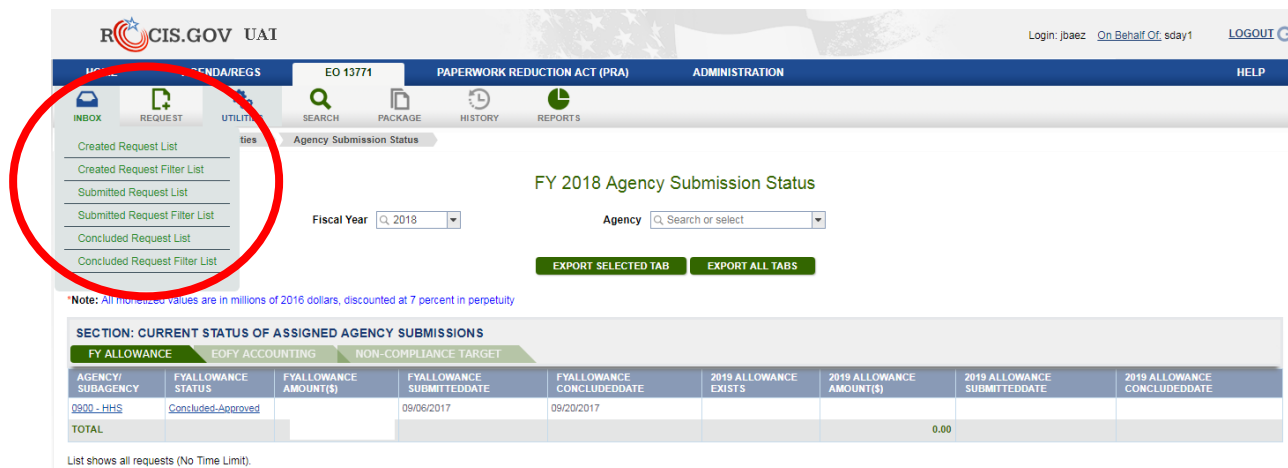


Figure 6.2: Options under Inbox Tab

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The six components are:

- The Created Request List: This is where you will find all created EO 13771 packages to which you have access. Once a request is created, it will remain in your Created Request list until it is submitted to OIRA or deleted from ROCIS.
- The Submitted Request List: This portion of your inbox will list any EO 13771 packages submitted to OIRA. Submitted Requests, including those that are opened or closed for amendment, will be reflected in this list until the review is concluded by OIRA.
- The Concluded Request List: Requests that have been reviewed by OIRA are reflected in this list. By default, only requests that have been reviewed in the last 30 days are displayed. Use the Concluded Request List Filter to expand the list to the desired range of dates concluded.
- Filter Lists: Each of the three sections above has a 'filter' option which allows a user to search through the related Inbox section for a specific request or set of requests. This is useful if the inbox contains a large number of entries.

Regardless of the portion of the Inbox you are in, you can sort the list by any column by clicking on the column header. The sort works like a toggle switch. The first time a user clicks on the column heading, the column data is sorted in a default order. Clicking the column heading a second time will result in a reversal of the sort order.

To view and/or edit a request, click the Request ID link in the first column.

The page displayed on the screen can be exported to MS Excel. To export the entire list (i.e. all pages), click the 'View All' button first to load the entire list on 1 screen (i.e. no pages).

Criteria: Status=(Created).

Request ID	RIN/OMB	Created Date	Fiscal Year	Created By	Agency/Sub	Title	Request Type
201807-0910-JC-001		07/06/2018		Day, Sonny	HHS/FDA		EO13771 ICR Request
201807-0933-RZ-003		07/06/2018		Day, Sonny	HHS/CMS		EO13771 RIN/ZRIN Request
201807-0933-RZ-002		07/06/2018		Day, Sonny	HHS/CMS		EO13771 RIN/ZRIN Request
201807-0933-RZ-001		07/06/2018		Day, Sonny	HHS/CMS		EO13771 RIN/ZRIN Request

Showing 1 to 4 of 4 entries

List shows all requests (No Time Limit).

Figure 6.3: Created Request List with View All and Export Buttons

7. HOW TO CREATE AND EDIT AN EO 13771 PACKAGE FOR A RIN/ZRIN

When you are ready to create an EO 13771 Package for a RIN or Z-RIN (i.e. guidance document), choose 'Request' from the Home Row. You will see a drop down list with several items. Select the "RIN EO13771 Package" option by highlighting it with your mouse and left-clicking once.

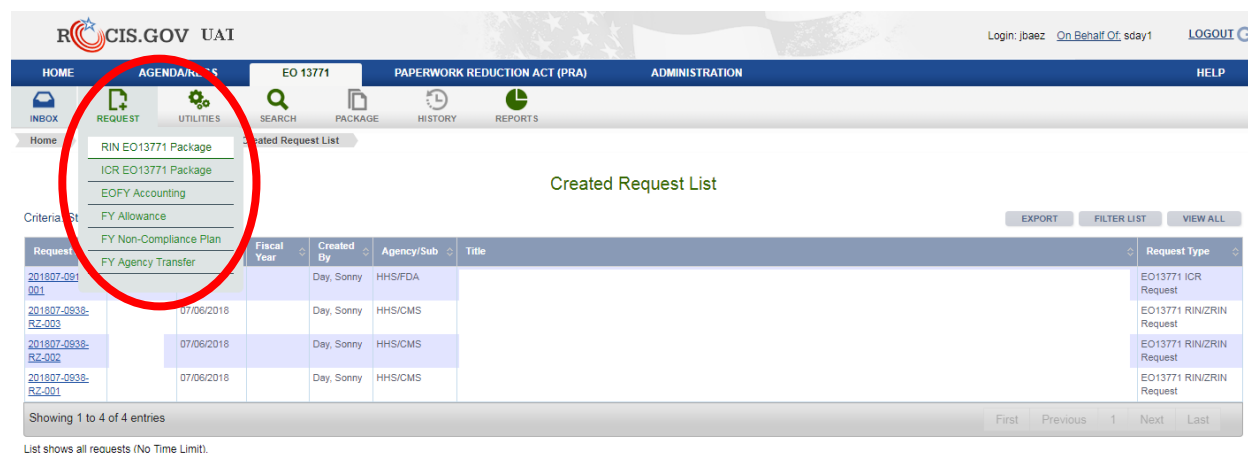


Figure 7.1: Request Menu with RIN EO13771 Package Option

You will be presented with a new screen where you can search for the desired RIN or ZRIN. ZRINs are used for regulatory/deregulatory actions taken by agencies that are not published in the Federal Register, like guidance documents. When RIN is mentioned throughout the remainder of this document, it includes ZRINs unless otherwise specified.

Type the RIN in the space provided and click the Search button. If the RIN is found, the following information is provided:

- RIN
- Most recent Unified Agenda publication ID
- Unified Agenda EO 13771 Designation
- Link to most recent EO 12866 Regulatory Review (if applicable)
- Title

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ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home > Reg/Dregs > Request > RIN EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter RIN to create or retrieve EO 13771 Package

Related RIN: Search

RIN: EO 13771 Designation:
EO Review Package:
Title:

Existing EO 13771:

Review ID	Created Date	Created By	Status	Agency/Sub	Title	Annualized Cost/Saving (millions)
No data available in table						

CREATE NEW CANCEL

Figure 7.2: Create New or Modify Existing EO 13771 Package Screen

If there is no existing EO 13771 package for the RIN selected, click the Create New button. If an existing EO 13771 package is found, click the Request ID link to view it.

ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home > Reg/Dregs > Request > RIN EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter RIN to create or retrieve EO 13771 Package

Related RIN: Search

RIN: 0938-AR99 (201310) EO 13771 Designation:
EO Review Package:
Title: Fixed Indemnity Coverage (CMS-9948-P)

Existing EO 13771:

Review ID	Created Date	Created By	Status	Agency/Sub	Title	Annualized Cost/Saving (millions)
No data available in table						

CREATE NEW CANCEL

Figure 7.3: Create New or Modify Existing EO 13771 Package Screen with Create New Button

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request RIN EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter RIN to create or retrieve EO 13771 Package
Related RIN: 0938-AS01 Search

RIN: 0938-AS01 (201704) EO 13771 Designation:
EO Review Package:
Title: Adoption of Operating Rules for HIPAA Transactions (CMS-0036-P)

Existing EO 13771:

Review ID	Created Date	Created By	Status	Agency/Sub	Title	Annualized Cost/Saving (millions)
201807-0938-R2-001	07/06/2018	Day, Sonny	Created	HHS/CMS	Adoption of Operating Rules for HIPAA Transactions (CMS-0036-P)	

CANCEL

Figure 7.4: Create New or Modify Existing EO 13771 Package Screen with Existing Request

If the package was for a non-final action and it was approved by OIRA, you can click the Revise button to submit a new EO 13771 package for the desired RIN. Any number of revisions can be submitted before the package for the final action is approved by OIRA.

ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request RIN EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter RIN to create or retrieve EO 13771 Package
Related RIN: 0910- Search

RIN: 0910- (2018) EO 13771 Designation: Other
EO Review Package:
Title:

Existing EO 13771:

Review ID	Created Date	Created By	Status	Agency/Sub	Title	Annualized Cost/Saving (millions)
201805-0910-R2-031	05/09/2018	Migrate, Spring_2018_Agenda_Worksheet	Concluded-Approved	HHS/FDA		

REVISE CANCEL

Figure 7.5: Concluded, Non-final EO 13771 Request with Revise Button

If the existing package is in Created or Open for Amendment status, you will be taken to the Edit EO 13771 Request page where you can continue to update the package. If the package is in Received or Closed for Amendment status, you will be presented with a view-only version of the originally submitted package. If the package is concluded by OIRA, you will be presented with a view-only version of the concluded package.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

To discuss all of the data items for an EO 13771 Request for a RIN, we will assume that there is no existing EO 13771 package for the desired RIN.

After the request has been successfully created, the user is transferred to the 'Edit EO 13771 Request' screen.

Click on the Related RIN section header to view some RIN information from the Unified Agenda. Click the RIN link to see the View Rule page for that RIN in the Unified Agenda module in ROCIS.

Click on the Related EO 12866 Review Package section header to view some information about the most recent EO 12866 regulatory review of the selected RIN, if applicable. Click on the Status link to view the full regulatory review package in the EO 12866 module in ROCIS.

In the EO 13771 Data section, the agency code and acronym are displayed, as well as the unique EO 13771 Request ID automatically assigned by ROCIS to this particular request. The "Title" of the RIN is also displayed. These items may not be changed. However, if the RIN Title is updated in the Unified Agenda module of ROCIS, the related EO 13771 request will reflect the new RIN Title the following day (Title is synchronized overnight).

Also at the top of this section is a link to the 'Manage Documents' portion of the EO 13771 process. That will be discussed under the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

Edit EO 13771 Request

RELATED RIN

RELATED EO 12866 REVIEW PACKAGE

EO 13771 DATA

Agency: 0910 FDA EO13771 Request ID: 201807-0910-RZ-001 [Manage Documents](#) [Economic Data](#)

*Title: Expected Finalization Fiscal Year: 2019

*Agency Contact: [ADD NEW CONTACT](#)

☒ Final Rule FR Citation ☐ Alternate Final Citation Request is considered FINAL once Citation/Finalization Date is provided.

Federal Register Citation: FR Citation/Finalization Date:

Statutory/Judicially Required? ☐

Required to set a standard by a specific date? ☐

CRA or related legislative rescission? ☐ CRA Fiscal Year:

Previous EO 13771 Request: [201805-0910-RZ-031](#)

Joint RINs: [ADD JOINT RIN](#)

RIN	Action
No data available in table	

Joint Agencies: Search or select [ADD JOINT AGENCY](#)

Agency	Action
No data available in table	

[ECONOMIC DATA](#) [SAVE](#) [DELETE](#) [CHECK FOR COMPLETENESS](#) [SUBMIT](#) [CANCEL](#)

Figure 7.6: Edit EO 13771 Request Screen

Expected Finalization Fiscal Year is populated with the current FY by default. The next FY can be selected, as well.

Agency Contact (required): This should be the individual that the OIRA desk officer can contact with any questions about the EO 13771 request. ROCIS will list others that have been identified as contacts in ROCIS. If the contact's name appears in the list, simply select that person. If the contact is not in the list, create a new contact by selecting the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task on the 'ROCIS Contact Administration' page. Enter some portion of the last name of the individual that you want to add as the Agency Contact, and then click on the 'Search' button.

The search results at the bottom of the screen include all matching ROCIS contacts that have been identified as a contact in the Agenda module, the EO Reg Review module, the PRA module and the Privacy module.

If you see the name that you want to add as a contact, click on the Name link.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for USER PROFILE, CHANGE PASSWORD, RECERTIFICATION, EMPLOYEE ADMIN, OIRA EMPLOYEE, and AGENCIES. The main content area is titled 'ROCIS Contact Administration'. It features a search form with a 'Last Name' field containing 'Contact' and buttons for 'SEARCH' and 'CANCEL'. A note states: 'Note: In order to add a new contact you must first search on the Last Name.' Below this, a message says: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.' There are 'ADD' and 'CANCEL' buttons. A table displays search results with columns: Agency, Name, Phone Number, Email, and Emp No. The table shows one entry: Agency: 0900 HHS, Name: Contact, Susan, Phone Number: 202 555-5555, Email: susan.contact@noemail.com, Emp No: 138678. At the bottom, it says 'Showing 1 to 1 of 1 entries' and has pagination links: First, Previous, 1, Next, Last.

Figure 7.7: Contact Administration Screen with Search Results

In this example, Susan Contact was selected. Susan is in ROCIS as a contact for another module. You can make Susan a contact for the EO 13771 module by clicking on the box next to 'EO13771 Contact' and selecting 'Active' radio button.

The screenshot shows the 'Edit Contact Detail' screen in the ROCIS.GOV UAT interface. The top navigation bar is the same as in Figure 7.7. The main content area is titled 'Edit Contact Detail'. It has a 'Personal Information' section with fields for Prefix, First Name (Susan), Middle Name, Last Name (Contact), Suffix, Employee Number (138678), Title, Agency (0900 HHS), and Sub Agency. There is a 'Contact Modules' section with a table of checkboxes and radio buttons for different modules. The 'EO13771 Contact' row is highlighted with a red circle, and its 'Active' radio button is selected. Other modules include RIN Contact, EO Contact, PRA Contact, and Privacy Contact. There is an 'Address' section with fields for Street Address, City, State, and Zip. A 'Communications' section has fields for Telephone (202 555-5555), TDD, Fax, and E-Mail (susan.contact@noemail.com). At the bottom, there are 'SAVE' and 'CANCEL' buttons.

Figure 7.8: Contact Detail Screen

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

Click the 'Save' button to effect the change. After the information is saved, you will be returned to the Edit EO 13771 Request screen.

If you do not see the name that you want to add as a contact in the search results, click the Add button to create a new contact.

ROCIS Contact Administration

Last Name:

Note: In order to add a new contact you must first search on the Last Name.

Please ensure that the contact you want to create is not one of the existing contacts displayed below.

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact, Susan	202 555-5555	susan.contact@noemail.com	138678

Showing 1 to 1 of 1 entries

Figure 7.9: Contact Administration Screen with Add Button

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly recommended.

The agency data field has a drop down list from which the agency or subagency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of subagencies. If the contact is associated with the agency code only, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

Click the Create Contact button at the bottom of the screen when you're ready. The new contact will be saved, and you will be returned to the 'Edit EO 13771 Request' screen. The contact that you have selected will be displayed.

The remaining data fields on this screen are optional.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Package Current Package Data

Edit EO 13771 Request

RELATED RIN

RELATED EO 12866 REVIEW PACKAGE

EO 13771 DATA

Agency: 0910 FDA EO13771 Request ID: 201807-0910-RZ-001 Manage Documents Economic Data

*Title: Expected Finalization Fiscal Year: 2019

*Agency Contact: ADD NEW CONTACT

☒ Final Rule FR Citation ☐ Alternate Final Citation Request is considered FINAL once Citation/Finalization Date is provided.

Federal Register Citation: Citation/Finalization Date:

Statutorily/Judicially Required? ☐

Required to set a standard by a specific date? ☐

CRA or related legislative rescission? ☐ CRA Fiscal Year:

Previous EO 13771 Request: 201805-0910-RZ-031

Joint RINs: ADD JOINT RIN

RIN	Action
No data available in table	

Joint Agencies: Search or select ADD JOINT AGENCY

Agency	Action
No data available in table	

ECONOMIC DATA SAVE DELETE CHECK FOR COMPLETENESS SUBMIT CANCEL

Figure 7.10: Edit EO 13771 Request Screen

Final Rule FR Citation and Citation date indicate when the final action for the RIN in question was published in the Federal Register. Entering the Final Rule FR Citation and Date fields identifies the EO 13771 package as a final action. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950.

Alternate Final Citation and Citation date also indicate when the final action for the RIN in question was published, but refer to citations other than Federal Register citations (e.g. use to enter web address and publication date of a guidance document for ZRINs). Entering the Alternate Final Citation and Date fields identifies the EO 13771 package as a final action.

Note – If submitting a final action that is a waiver or exemption and will not be published in the Federal Register, use the Alternate Final Citation radio button and provide a date and cite, which can include a URL, such as www.reginfo.gov. To be included in the EOFY Accounting, waivers and exemptions must be recorded as final actions.

ROCIS How-To Guide for Agency Users of the EO 13771 Module
Regulatory Information Service Center (RISC)

Statutorily/Judicially Required: Check this box if there are legal deadlines associated with the RIN.

Required to set a standard by a specific date: Check this box if the agency is required to set a standard by a specific date.

CRA or related legislative rescission: Check this box if this action was overruled under the Congressional Review Act or otherwise rescinded by a related legislative action.

CRA Fiscal Year is required if “CRA or related legislative rescission” is checked (format is yyyy, like “2018”).

Previous EO 13771 Request: If you are working on a revision of a previously reviewed EO 13771 request, the Request ID for the previous request will be displayed as a link.

Joint RINs: Enter the desired RIN and click the Add Joint RIN button, if applicable. You can add as many Joint RINs as needed and remove any that were added by mistake.

Joint Agencies: Select the desired agency from the drop-down and click the Add Joint Agency button, if applicable. You can add as many Joint RINs as needed and remove any that were added by mistake.

At this point, all of your data should be saved by selecting the ‘Save’ Button. (Data can be saved at any time during the editing process). Click the Economic Data button to go to the Economic Data page.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Package Current Package Data

Edit EO 13771 Request

RELATED RIN

RELATED EO 12866 REVIEW PACKAGE

EO 13771 DATA

Agency: 0910 FDA EO13771 Request ID: 201807-0910-RZ-001 [Manage Documents](#) [Economic Data](#)

*Title: Expected Finalization Fiscal Year: 2019

*Agency Contact: [ADD NEW CONTACT](#)

☒ Final Rule FR Citation ☐ Alternate Final Citation Request is considered FINAL once Citation/Finalization Date is provided.

Federal Register Citation: FR Citation/Finalization Date:

Statutorily/Judicially Required? ☐

Required to set a standard by a specific date? ☐

CRA or related legislative rescission? ☐ CRA Fiscal Year:

Previous EO 13771 Request: [201805-0910-RZ-031](#)

Joint RINs: [ADD JOINT RIN](#)

RIN	Action
No data available in table	

Joint Agencies: [ADD JOINT AGENCY](#)

Agency	Action
No data available in table	

[ECONOMIC DATA](#) [SAVE](#) [DELETE](#) [CHECK FOR COMPLETENESS](#) [SUBMIT](#) [CANCEL](#)

Figure 7.11: Edit EO 13771 Request Screen with Economic Data Button/Link

Click on the EO 12866 Review section header to view Costs, Transfers and Effects data from the most recent EO 12866 regulatory review of the selected RIN.

In the EO 13771 Economic Data section, there is a link to the 'Manage Documents' portion of the EO 13771 process. That will be discussed under the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT Login: jbaez On Behalf Of sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Package Current Package Economic Data

Review Type: EO13771 RIN/ZRIN Request Review Id: 201807-0910-RZ-001
Agency/Sub-Agency: HHS/FDA Title:
Status: Created Last Event: Created Last Event User: Sonny Day (sday1) Last Event Date: 07/06/2018

Economic Data

EO 12866 REVIEW COSTS AND BENEFITS STATEMENT

EO 13771 ECONOMIC DATA

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity [Manage Documents](#)

Requested 13771 Designation:

Cost/Cost Savings Annualized - Primary Estimate 7% (\$millions): Cost/Cost Savings PV - Primary Estimate (\$millions):

Quantified Cost/Cost Savings Notes (Maximum 1000 characters)

Exemption Type:

None Permanent Exempt Amount (\$millions): Temporary Exempt Amount (\$millions):

Waiver Type:

None Full Waiver ☐ Waiver Amount (\$millions):

Qualitative Cost/Cost Savings Only? ☐

Qualitative Cost/Cost Savings (Maximum 1000 characters)

Cost/Cost savings associated with a transfer rule? ☐

Additional Notes (Maximum 3000 characters)

RETURN TO DATA SAVE CANCEL

Figure 7.12: Economic Data Screen

Note: For FY2018, all monetized values entered into ROCIS are in millions of 2016 dollars, discounted at 7 percent in perpetuity. If and when this changes, ROCIS will always display the year dollars and discount rate to use when entering monetized values in the EO 13771 module.

Requested 13771 Designation: Select from the following:

- Deregulatory – net impact of action is cost savings (-)
- Regulatory – net impact of action is cost (+)
- Other - Cost – net impact of action is cost (-); action not counted as a regulatory action
- Other - Cost Savings – net impact of action is cost savings (-); action not counted as a deregulatory action

Cost/Cost Savings Annualized - Primary Estimate 7%: Absolute value of primary estimate of annualized cost or cost savings, at 7% discount rate, in millions of dollars.

ROCIS How-To Guide for Agency Users of the EO 13771 Module
Regulatory Information Service Center (RISC)

Cost/Cost Savings PV: Primary Estimate is automatically calculated by ROCIS and cannot be changed.

Quantified Cost/Cost Savings Notes: Enter any additional notes regarding the cost/cost savings data entered above for OIRA to consider during review.

Exemption Type: If you selected “Regulatory” for Requested 13771 Designation, then you can request an exemption. ROCIS will automatically request a permanent exemption for the full amount of annualized cost entered above if you select one of the following Exemption Types:

- Military
- National Security
- Foreign Affairs
- Agency/Personnel Management

If you select any other Exemption Type, ROCIS will allow you to manually enter the amount of annualized cost to be exempted (full or partial), as follows:

- Permanent Exemption Amount – annualized cost to be permanently exempted
- Temporary Exemption Amount – annualized cost to be temporarily exempted (amount must be accounted for in next FY)

Waiver Type: There are 2 types of waivers that can be requested:

- Section 3(c) – choose this waiver type if the related RIN was not published in the most recent version of the Unified Agenda. Section 3(c) of EO 13771 reads as follows:

“Unless otherwise required by law, no regulation shall be issued by an agency if it was not included on the most recent version or update of the published Unified Regulatory Agenda as required under Executive Order 12866, as amended, or any successor order, unless the issuance of such regulation was approved in advance in writing by the Director.”

- Other – choose this waiver type for all other waiver requests (i.e. not a Section 3(c) waiver)

A Waiver Letter must be uploaded on the Manage Documents page for all waiver requests (see below for more about uploading documents in ROCIS).

Note – If submitting a final action that is a waiver or exemption and will not be published in the Federal Register, use the Alternate Final Citation radio button and provide a date and cite,

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which can include a URL, such as www.reginfo.gov. To be included in the EOFY Accounting, waivers and exemptions must be recorded as final actions.

Full Waiver: Check this box if all of the regulatory cost/cost savings reported shall be waived until the next fiscal year.

Waiver Amount: For partial waivers, enter the amount of regulatory cost/cost savings reported to be waived until the next fiscal year.

Qualitative Cost/Cost Savings Only?: Check this box if there are no quantified cost/cost savings for this request (i.e. Cost/Cost Savings Annualized = 0).

Qualitative Cost/Cost Savings: Enter a brief description of unquantified cost/cost savings. If additional space is needed, upload as a Supplementary Document on the Manage Documents page (see below for more about uploading documents in ROCIS).

Cost/Cost savings associated with a transfer rule?: Check this box when costs/cost savings beyond economic transfers determine the EO 13771 designation.

Additional Notes: Use this to provide additional information to OMB/OIRA about your request.

Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process). You will then be ready to add the necessary documents to your request.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

The screenshot displays the ROCIS.gov UAT interface. At the top, the header includes the ROCIS.GOV UAT logo, a login status for 'jbaez' on behalf of 'sday1', and a 'LOGOUT' link. Below the header is a navigation bar with tabs for HOME, AGENDA/REGS, EO 13771 (selected), PAPERWORK REDUCTION ACT (PRA), and ADMINISTRATION. A secondary navigation bar contains icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area shows a breadcrumb trail: Home > Reg/Dregs > Package > Current Package > Economic Data. A status bar at the top of the form indicates: Review Type: EO13771 RIN/ZRIN Request, Agency/Sub-Agency: HHS/FDA, Status: Created, Review Id: 201807-0910-RZ-001, Title: Last Event: Created, Last Event User: Sonny Day (sday1), and Last Event Date: 07/06/2018. The 'Economic Data' section includes a tab for 'EO 12866 REVIEW COSTS AND BENEFITS STATEMENT' and another for 'EO 13771 ECONOMIC DATA'. A note states: 'All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. The form contains several input fields: 'Requested 13771 Designation' (dropdown), 'Cost/Cost Savings Annualized - Primary Estimate 7% (\$millions)' and 'Cost/Cost Savings PV - Primary Estimate (\$millions)' (text boxes), 'Quantified Cost/Cost Savings Notes (Maximum 1000 characters)' (text area), 'Exemption Type' (dropdown with 'None' selected), 'Permanent Exempt Amount (\$millions)' and 'Temporary Exempt Amount (\$millions)' (text boxes), 'Waiver Type' (dropdown with 'None' selected), 'Full Waiver' (checkbox), 'Waiver Amount (\$millions)' (text box), 'Qualitative Cost/Cost Savings Only?' (checkbox), 'Qualitative Cost/Cost Savings (Maximum 1000 characters)' (text area), 'Cost/Cost savings associated with a transfer rule?' (checkbox), and 'Additional Notes (Maximum 3000 characters)' (text area). At the bottom, there are three buttons: 'RETURN TO DAT.', 'SAVE' (circled in red), and 'CANCEL'.

Figure 7.13: Economic Data Screen with 'Save' Button

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8. HOW TO ELECTRONICALLY ATTACH (UPLOAD) DOCUMENTS

To upload (electronically attach) documents to your EO 13771 request, click on the 'Manage Documents' link on the 'Edit EO 13771 Request' screen. Or, mouse over 'Package' on your tab row, mouse over 'Current Package' on the drop down list and then click on 'Documents'.

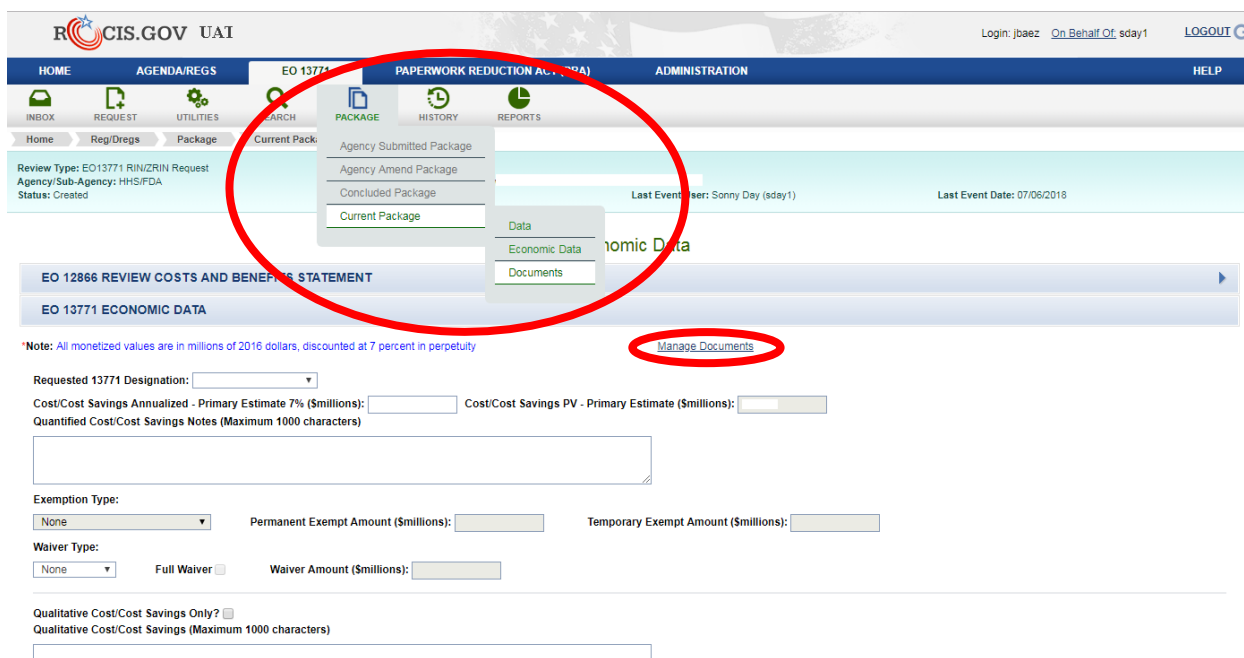


Figure 8.1: Economic Data Screen with Paths to Manage Documents Screen

With either method, the user will be presented with a new screen from which to load documents.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area displays a breadcrumb trail: Home > Reg/Dregs > Package > Current Package > Documents. A summary section shows: Review Type: EO13771 RIN/ZRIN Request, Agency/Sub-Agency: HHS/FDA, Status: Created, Review Id: 201807-0910-RZ-001, Title: [redacted], Last Event: Created, Last Event User: Sonny Day (aday1), and Last Event Date: 07/06/2018. The 'Manage Documents' section features a table with columns: Remove, Title, Document, Document Type, Version, Date Uploaded, and Uploaded By. Below the table are two buttons: 'UPLOAD NEW DOCUMENT' and 'RETURN TO DATA'.

Figure 8.2: Manage Documents Screen

Every EO 13771 request for a waiver requires a Waiver Letter. Other supporting documents can be uploaded, but are not required for submission to OIRA. Use the 'Guidance Document for Z-RIN' document type if an EO 12866 regulatory review request has not been submitted for the related Z-RIN. Use the Supplementary Document type for all other supporting documentation uploaded.

To upload a new document, click on the 'Upload New Document' button. A new pop-up window will appear, prompting the user for a title and the corresponding document type. The user will select the document type from the drop down list provided.

The screenshot shows a pop-up window titled 'Upload Document'. It contains three main input fields: a text box for '* Title:', a dropdown menu for '* Document Type:' (currently set to 'Supplementary Document'), and a 'Document File:' section with a 'Choose File' button and the text 'No file chosen'. At the bottom of the window are two buttons: 'UPLOAD DOCUMENT' and 'CLOSE'.

Figure 8.3: Upload Document Pop-up Screen

The third field is for the name of the file that you want to upload. Click the 'Browse', or 'Choose File' button (depends on your internet browser), and ROCIS will allow you to browse files on your local computer to find the right document. Once you have found it, simply click on the file name and click the 'Open' button. The path to the document will appear in the ROCIS window. Finally, click the 'Upload Document' button, and ROCIS will attach the file electronically to your submission.

ROCIS How-To Guide for Agency Users of the EO 13771 Module
Regulatory Information Service Center (RISC)

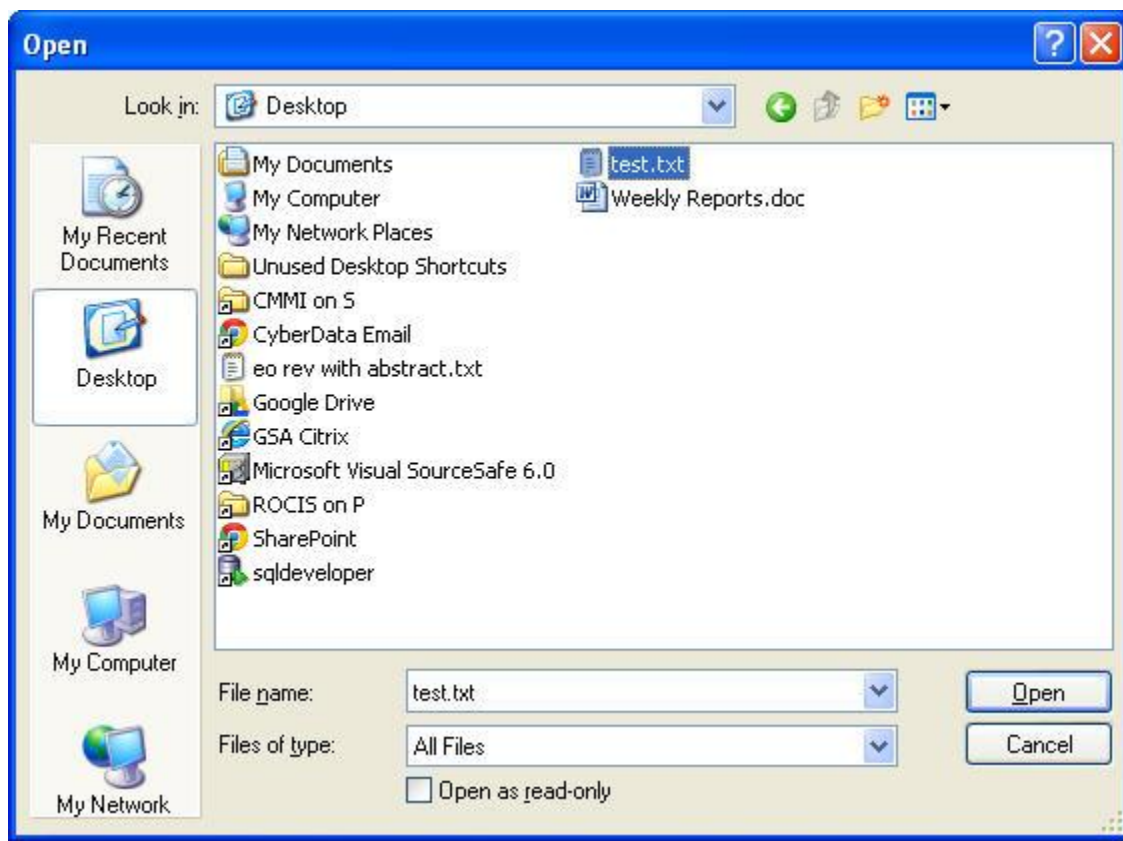


Figure 8.4: 'Choose File' Pop-up Screen

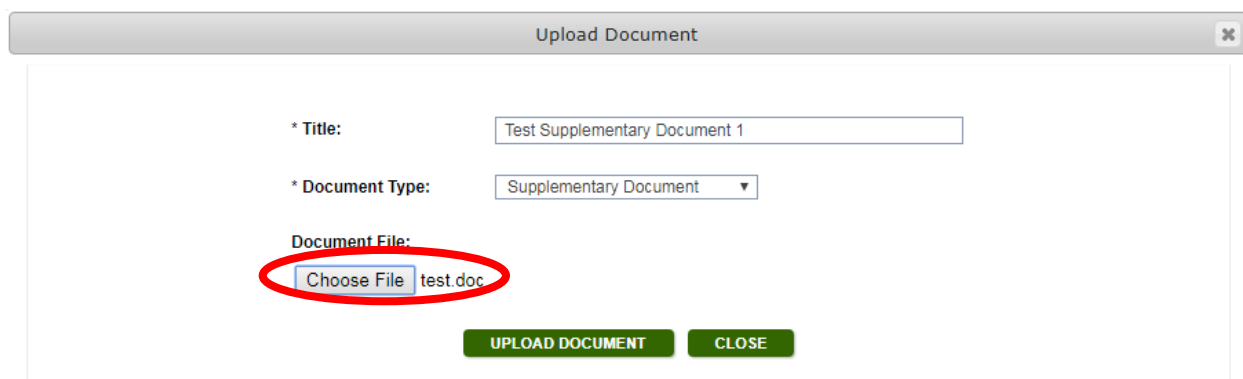


Figure 8.5: Upload Document Pop-up with Path to Chosen Document

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

Upload Document ✕

✓ Information about the document has been saved.

*** Title:**

*** Document Type:**

Date Uploaded: 07/06/2018

Uploaded By: Day, Sonny

Document File: [test.doc](#)

No file chosen

Figure 8.6: Upload Document Pop-up after Upload

ROCIS.GOV UAI

[Login: jbaez](#)
[On Behalf Of: sday1](#)
[LOGOUT](#)

[HOME](#)
[AGENDA/REGS](#)
[EO 13771](#)
[PAPERWORK REDUCTION ACT \(PRA\)](#)
[ADMINISTRATION](#)
[HELP](#)

[INBOX](#)
[REQUEST](#)
[UTILITIES](#)
[SEARCH](#)
[PACKAGE](#)
[HISTORY](#)
[REPORTS](#)

[Home](#)
[Reg/Dregs](#)
[Package](#)
[Current Package](#)
[Documents](#)

Review Type: EO13771 RIN/ZRIN Request
Agency/Sub-Agency: HHS/FDA
Status: Created

Review Id: 201807-0910-RZ-001
Title:
Last Event: Upload Primary Document

Last Event User: Sonny Day (sday1)
Last Event Date: 07/06/2018

Manage Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By
<input type="checkbox"/>	Test Supplementary Document 1	test.doc	Supplementary Document	0.0	07/06/2018	Day, Sonny

To replace an existing document, click on the document title in the column above. To upload a new document, click on the "Upload New Document" button below.

Figure 8.7: Manage Documents Screen with Supplementary Document Uploaded

There is also now a box under the 'Remove' column. Should you want to delete this document, check the box by clicking on it and click the 'OK' button when asked to confirm. The document will be deleted from the ROCIS system. Documents can only be deleted from ROCIS before they are submitted to OIRA for review. Documents deleted from ROCIS cannot be recovered.

If you want to replace an already uploaded document, click on the document's Title link. This will allow you to replace the existing document. You should not have more than one version of each document type, except for Supplementary Documents (multiple are allowed), associated with your request.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

After you have uploaded all of your documents, return to the package by clicking the “Return to Data” button provided.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771 (selected), PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE (selected), HISTORY, and REPORTS. The main content area displays the 'Manage Documents' screen for a specific review. It includes a header with review details and a table of documents. At the bottom, there are two buttons: 'UPLOAD NEW DOCUMENT' and 'RETURN TO DATA', with the latter being circled in red.

ROCIS.GOV UAT Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Package Current Package Documents

Review Type: EO13771 RIN/ZRIN Request Review Id: 201807-0910-RZ-001
Agency/Sub-Agency: HHS/FDA Title
Status: Created Last Event: Upload Primary Document Last Event User: Sonny Day (sday1) Last Event Date: 07/06/2018

Manage Documents

Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By
<input type="checkbox"/>	Test Supplementary Document 1	test.doc	Supplementary Document	0.0	07/06/2018	Day, Sonny

To replace an existing document, click on the document title in the column above. To upload a new document, click on the "Upload New Document" button below.

UPLOAD NEW DOCUMENT RETURN TO DATA

Figure 8.8: Manage Documents Screen with Return to Data Button

9. HOW TO CREATE AND EDIT AN EO 13771 PACKAGE FOR AN ICR

When you are ready to create an EO 13771 Package for an Information Collection Request (ICR), choose 'Request' from the Home Row. You will see a drop down list with several items. Select the "ICR EO13771 Package" option by highlighting it with your mouse and left-clicking once.

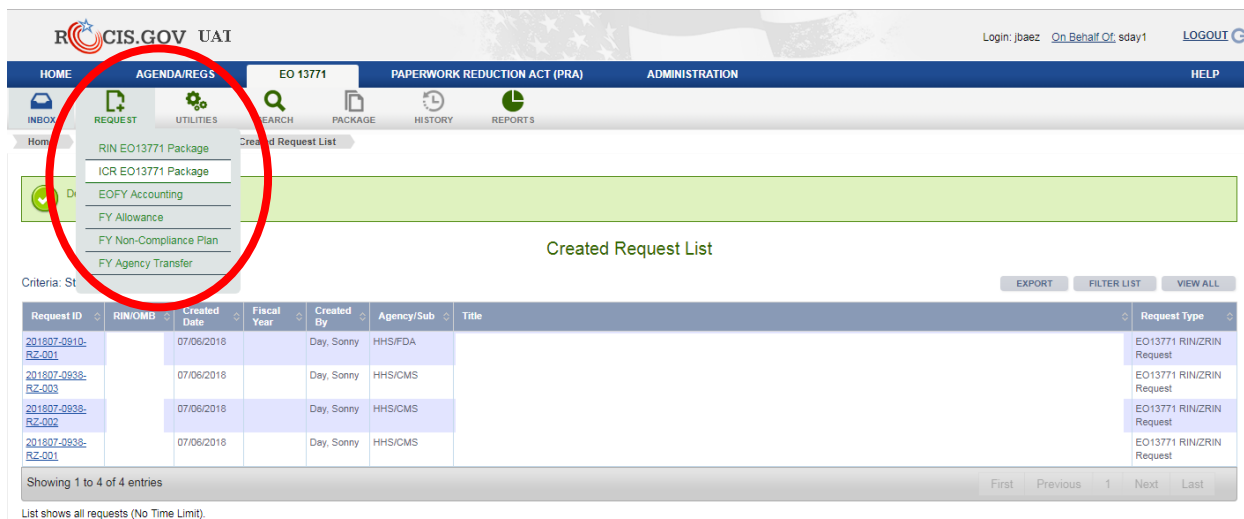


Figure 9.1: Request Menu with ICR EO13771 Package Option

You will be presented with a new screen where you can search for the desired OMB Control # (unique identifier for agency information collections assigned by ROCIS).

Type the OMB Control # in the space provided and click the Search button. If the ICR is found, the following information is provided:

- OMB Control # (link to OMB Control # History screen)
- Latest ICR Reference #
- Date [Latest ICR was] Received by OIRA
- Agency/Sub-agency
- Status
- Title
- [Latest ICR's] Conclusion Date (if applicable)

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT1

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home > Reg/Dregs > Request > ICR EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter OMB Control Number to create or retrieve EO 13771 Package

Related OMB Control Number: [SEARCH](#)

OMB Control Number:
ICR Reference Number:
Date Received By OIRA:
Agency/Sub:
Status:
Title:
Conclusion Date:

Existing EO 13771:

Review ID	Created Date	Created By	Agency/Sub	Status	Title	Annualized Cost Savings (millions)
No data available in table						

[CREATE NEW](#) [CANCEL](#)

Figure 9.2: Create New or Modify Existing EO 13771 Package Screen

If there is no existing EO 13771 package for the ICR selected, click the Create New button. If an existing EO 13771 package is found, click the Request ID link to view it.

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ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request ICR EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter OMB Control Number to create or retrieve EO 13771 Package

Related OMB Control Number: [SEARCH](#)

OMB Control Number: [0910-](#)

ICR Reference Number:

Date Received By OIRA: 06/08/2015

Agency/Sub: HHS/FDA

Status: Active

Title:

Conclusion Date: 07/07/2015

Existing EO 13771:

Review ID	Created Date	Created By	Agency/Sub	Status	Title	Annualized Cost Savings (millions)
No data available in table						

[CREATE NEW](#) [CANCEL](#)

Figure 9.3: Create New or Modify Existing EO 13771 Package Screen with Create New Button

ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request ICR EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter OMB Control Number to create or retrieve EO 13771 Package

Related OMB Control Number: [SEARCH](#)

OMB Control Number: [0910-](#)

ICR Reference Number:

Date Received By OIRA: 06/08/2015

Agency/Sub: HHS/FDA

Status: Active

Title:

Conclusion Date: 07/07/2015

Existing EO 13771:

Review ID	Created Date	Created By	Agency/Sub	Status	Title	Annualized Cost Savings (millions)
201807-0910-IC-002	06/08/2018	Day, Sonny	HHS/FDA	Created		

[CANCEL](#)

Figure 9.4: Create New or Modify Existing EO 13771 Package Screen with Existing Request

If the package was for a non-final action and it was approved by OIRA, you can click the Revise button to submit a new EO 13771 package for the desired ICR. Any number of revisions can be submitted before the package for the final action is approved by OIRA.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

ROCIS.GOV UAT

Home > Reg/Dregs > Request > ICR EO13771 Package

Create New or Modify Existing EO 13771 Package

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Enter OMB Control Number to create or retrieve EO 13771 Package

Related OMB Control Number:

OMB Control Number:

ICR Reference Number:

Date Received By OIRA: 06/08/2015

Agency/Sub: HHS/FDA

Status: Active

Title:

Conclusion Date: 07/07/2015

Existing EO 13771:

Review ID	Created Date	Created By	Agency/Sub	Status	Title	Annualized Cost Savings (millions)
201807-0910-IC-002	07/06/2018	Day, Sonny	HHS/FDA	Concluded-Approved		

Figure 9.5: Create New or Modify Existing EO 13771 Package Screen with Revise Button

If the existing package is in Created or Open for Amendment status, you will be taken to the Edit EO 13771 Request page where you can continue to update the package. If the package is in Received or Closed for Amendment status, you will be presented with a view-only version of the originally submitted package. If the package has already been concluded by OIRA, you will be presented with a view-only version of the concluded package. To discuss all of the data items for an EO 13771 Request for an ICR, we will assume that there is no existing EO 13771 package for the desired ICR.

After the request has been successfully created, the user is transferred to the 'Edit EO 13771 Request' screen.

Click on the Related ICR section header to view some ICR information from the Paperwork Reduction Act (PRA) module in ROCIS. Click the OMB Control # link to see the OMB Control # History page for that information collection.

In the EO 13771 Data section, the agency code and acronym are displayed, as well as the unique EO 13771 Request ID automatically assigned by ROCIS to this particular request. The "Title" of the ICR is also displayed. These items may not be changed. However, if the ICR Title is updated in the PRA module of ROCIS, the related EO 13771 request will reflect the new ICR Title the following day (Title is synchronized overnight).

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Also at the top of this section is a link to the 'Manage Documents' portion of the EO 13771 process. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

The screenshot shows the 'Edit EO 13771 Request' screen in the ROCIS system. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771 (selected), PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE (selected), HISTORY, and REPORTS. A breadcrumb trail shows: Home > Reg/Dregs > Package > Current Package > Data. The main content area is titled 'Edit EO 13771 Request'. It features a 'RELATED ICR' section with a link to 'EO 13771 DATA'. The form fields include: Agency (0910 FDA), EO13771 Request ID (201807-0910-IC-004), Title, Expected Finalization Fiscal Year (2018), Finalization Date, Agency Contact (with a search dropdown and 'ADD NEW CONTACT' button), Type (radio buttons for Discontinuation and Incremental Burden Reduction), Previous EO 13771 Request, and NAICS Codes (with a note that Line of Business/Sub-function data is available in the ICR). At the bottom, there is an 'EDIT' button and a row of action buttons: ECONOMIC DATA, SAVE, DELETE, CHECK FOR COMPLETENESS, SUBMIT, and CANCEL.

Figure 9.6: Edit EO 13771 Request Screen

Expected Finalization Fiscal Year is populated with the current FY by default. The next FY can be selected, as well.

Agency Contact (required): This should be the individual that the OIRA desk officer can contact with any questions about the EO 13771 request. ROCIS will list others that have been identified as contacts in ROCIS. If the contact's name appears in the list, simply select that person. If the contact is not in the list, create a new contact by selecting the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task on the 'ROCIS Contact Administration' page. Enter some portion of the last name of the individual that you want to add as the Agency Contact, and then click on the 'Search' button.

The search results at the bottom of the screen include all matching ROCIS contacts that have been identified as a contact in the Agenda module, the EO Reg Review module, the PRA module and the Privacy module.

ROCIS How-To Guide for Agency Users of the EO 13771 Module Regulatory Information Service Center (RISC)

If you see the name that you want to add as a contact, click on the Name link.

The screenshot shows the ROCIS Contact Administration interface. At the top, there's a navigation bar with links like HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a sub-navigation bar with links like USER PROFILE, CHANGE PASSWORD, RECERTIFICATION, EMPLOYEE ADMIN, OIRA EMPLOYEE, and AGENCIES. The main content area is titled 'ROCIS Contact Administration'. It features a search form with a 'Last Name' field containing 'Contact' and buttons for 'SEARCH' and 'CANCEL'. Below the search form, a note states: 'Note: In order to add a new contact you must first search on the Last Name. Please ensure that the contact you want to create is not one of the existing contacts displayed below.' Below this note is a table with one entry:

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact_Susan	202 555-5555	susan.contact@noemail.com	138678

At the bottom of the table, it says 'Showing 1 to 1 of 1 entries' and has pagination links: First, Previous, 1, Next, Last.

Figure 9.7: Contact Administration Screen with Search Results

In this example, Susan Contact was selected. Susan is in ROCIS as a contact for another module. You can make Susan a contact for the EO 13771 module by clicking on the box next to 'EO13771 Contact' and selecting 'Active' radio button.

The screenshot shows the 'Edit Contact Detail' screen for 'Contact_Susan'. It has a navigation bar similar to Figure 9.7. The main content area is titled 'Edit Contact Detail'. It is divided into several sections:

- Personal Information:** Fields for Prefix, First Name (Susan), Middle Name, Last Name (Contact), Suffix, Employee Number (138678), Title, Agency (0900 HHS), and Sub Agency.
- Address:** Fields for Street Address, City, State, and Zip.
- Communications:** Fields for Telephone (202 555-5555), TDD, Fax, and E-Mail (susan.contact@noemail.com).
- Contact Modules:** A section with checkboxes for 'RIN Contact', 'EO13771 Contact', 'PRA Contact', and 'Privacy Contact'. Each checkbox has a corresponding 'Active' and 'Inactive' radio button. The 'EO13771 Contact' row is circled in red, and the 'Active' radio button is selected.

At the bottom right, there are 'SAVE' and 'CANCEL' buttons.

Figure 9.8: Contact Detail Screen

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Click the 'Save' button to effect the change. After the information is saved, you will be returned to the Edit EO 13771 Request screen.

If you do not see the name that you want to add as a contact in the search results, click the Add button to create a new contact.

ROCIS Contact Administration

Last Name:

Note: In order to add a new contact you must first search on the Last Name.

Please ensure that the contact you want to create is not one of the existing contacts displayed below.

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact, Susan	202 555-5555	susan.contact@noemail.com	138678

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

Figure 9.9: Contact Administration Screen with Add Button

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly recommended.

The agency data field has a drop down list from which the agency or subagency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of subagencies. If the contact is associated with the agency code only, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

Click the Create Contact button at the bottom of the screen when you're ready. The new contact will be saved, and you will be returned to the 'Edit EO 13771 Request' screen. The contact that you have selected will be displayed.

Select the appropriate 'Type' value base on whether the EO 13771 package is related to a:

- Discontinuation – Full deregulation of the ICR resulting in its discontinuation of use

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- Related ICR must be discontinued in ROCIS within the Expected Finalization Fiscal Year selected
- Incremental Burden Reduction – Partial deregulation of the ICR resulting in reduced burden to the public

The remaining data fields on this screen are optional.

The screenshot displays the 'Edit EO 13771 Request' screen. The top navigation bar includes 'HOME', 'AGENDA/REGS', 'EO 13771', 'PAPERWORK REDUCTION ACT (PRA)', 'ADMINISTRATION', and 'HELP'. Below this is a sub-navigation bar with 'INBOX', 'REQUEST', 'UTILITIES', 'SEARCH', 'PACKAGE', 'HISTORY', and 'REPORTS'. The main content area is titled 'Edit EO 13771 Request' and contains a 'RELATED ICR' section with a 'EO 13771 DATA' tab. The data fields include: Agency (0910 FDA), EO13771 Request ID (201807-0910-IC-004), Title, Expected Finalization Fiscal Year (2018), Agency Contact (Search or select), Finalization Date, Type (Discontinuation or Incremental Burden Reduction), Previous EO 13771 Request, and NAICS Codes. At the bottom, there are buttons for 'ECONOMIC DATA', 'SAVE', 'DELETE', 'CHECK FOR COMPLETENESS', 'SUBMIT', and 'CANCEL'.

Figure 9.10: Edit EO 13771 Request Screen

Finalization Date indicates when the final deregulatory action for the ICR in question was completed. Entering the Finalization Date field identifies the EO 13771 package as a final action.

Previous EO 13771 Request: If you are working on a revision of a previously reviewed EO 13771 request, the Request ID for the previous request will be displayed as a link.

NAICS Codes: Enter the code(s) from the North American Industry Classification System (NAICS) to indicate the industrial sectors that may benefit the most, either directly or indirectly, by the action.

To add a NAICS code, click the 'Edit' button. In the 'NAICS Codes' pop-up, enter a code (partial values will work) and click the 'Search' button. You can also leave the search field blank and click the 'Search' button to see a list of all of the NAICS codes in ROCIS. Select the desired NAICS codes from the 'Available' list (select multiple codes by holding

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the Control key down on your keyboard while clicking) and click the 'Add' button to move them to the 'Selected' list. When you click the 'Done' button, all of the NAICS codes in the 'Selected' list will be added to your EO 13771 request.

At this point, all of your data should be saved by selecting the 'Save' Button. (Data can be saved at any time during the editing process). Click the Economic Data button to go to the Economic Data page.

The screenshot displays the 'Edit EO 13771 Request' interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), and ADMINISTRATION. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'Edit EO 13771 Request' and contains a 'RELATED ICR' section with a link to 'EO 13771 DATA'. The form fields include: Agency (0910 FDA), EO13771 Request ID (201807-0910-IC-004), Title, Expected Finalization Fiscal Year (2018), Agency Contact (Search or select), and a green 'ADD NEW CONTACT' button. There are also radio buttons for 'Type' (Discontinuation, Incremental Burden Reduction) and a 'Previous EO 13771 Request' field. At the bottom, a row of buttons includes 'ECONOMIC DATA' (circled in red), 'SAVE', 'DELETE', 'CHECK FOR COMPLETENESS', 'SUBMIT', and 'CANCEL'. A red circle also highlights the 'Economic Data' link in the top right corner.

Figure 9.11: Edit EO 13771 Request Screen with Economic Data Button/Link

In the EO 13771 Economic Data section, there is a link to the 'Manage Documents' portion of the EO 13771 process. That will be discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter of this manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.

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ROCIS.GOV UAT Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Package Current Package Economic Data

Review Type: EO13771 ICR Request Agency/Sub-Agency: HHS/FDA Status: Created Review Id: 201807-0910-IC-004 Title: Last Event: Created Last Event User: Sonny Day (sday1) Last Event Date: 07/06/2018

Economic Data

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity [Manage Documents](#)

Cost Savings Annualized - Primary Estimate 7% (\$millions): Cost Savings PV - Primary Estimate (\$millions):

Quantified Cost Savings Notes (Maximum 1000 characters)

Qualitative Cost Savings Only? ☐

Qualitative Cost Savings (Maximum 1000 characters)

Cost savings associated with a transfer rule? ☐

Additional Notes (Maximum 3000 characters)

Figure 9.12: Economic Data Screen

Note: For FY2018, all monetized values entered into ROCIS are in millions of 2016 dollars, discounted at 7 percent in perpetuity. If and when this changes, ROCIS will always display the year dollars and discount rate to use when entering monetized values in the EO 13771 module.

Cost Savings Annualized - Primary Estimate 7%: Absolute value of primary estimate of annualized cost savings, at 7% discount rate, in millions of dollars.

Cost Savings PV: Primary Estimate is automatically calculated by ROCIS and cannot be changed.

Quantified Cost Savings Notes: Enter any additional notes regarding the cost savings data entered above for OIRA to consider during review.

Qualitative Cost Savings Only?: Check this box if there are no quantified cost savings for this request (i.e. Cost Savings Annualized = 0).

Qualitative Cost Savings: Enter a brief description of unquantified cost savings. If additional space is needed, upload as a Supplementary Document on the Manage Documents page (see below for more about uploading documents in ROCIS).

Cost savings associated with a transfer rule?: Check this box when cost savings beyond economic transfers determine the EO 13771 designation as 'Deregulatory'.

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Additional Notes: Use this to provide additional information to OMB/OIRA about your request.

Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process). You will then be ready to add the necessary documents to your request. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

ROCIS.GOV UAI Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home > Reg/Dregs > Package > Current Package > Economic Data

Review Type: EO13771 ICR Request Review Id: 201807-0910-IC-004
Agency/Sub-Agency: HHS/FDA Title:
Status: Created Last Event: Created Last Event User: Sonny Day (sday1) Last Event Date: 07/06/2018

Economic Data

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity [Manage Documents](#)

Cost Savings Annualized - Primary Estimate 7% (\$millions): Cost Savings PV - Primary Estimate (\$millions):

Quantified Cost Savings Notes (Maximum 1000 characters)

Qualitative Cost Savings Only? ☐
Qualitative Cost Savings (Maximum 1000 characters)

Cost savings associated with a transfer rule? ☐
Additional Notes (Maximum 3000 characters)

RETURN TO DAT... SAVE CANCEL

Figure 9.13: Economic Data Screen with 'Save' Button

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10. HOW TO SUBMIT AN EO 13771 REQUEST

After entering all required data and uploading the necessary documents, you may want to perform a 'Check for Completeness' by selecting the button with that label at the bottom of the 'Edit EO 13771 Request' screen. ROCIS will do a validation of the data and documents. The result of the validation will be displayed at the top of the screen. ROCIS will either advise you that the request is complete, or notify you to provide information on what is missing.

The screenshot shows the 'Edit EO 13771 Request' interface. At the top, there's a navigation bar with 'HOME', 'AGENDA/REGS', 'EO 13771', 'PAPERWORK REDUCTION ACT (PRA)', and 'ADMINISTRATION'. Below this is a sub-navigation bar with 'INBOX', 'REQUEST', 'UTILITIES', 'SEARCH', 'PACKAGE', 'HISTORY', and 'REPORTS'. The main content area is titled 'Edit EO 13771 Request' and includes sections for 'RELATED RIN', 'RELATED EO 12866 REVIEW PACKAGE', and 'EO 13771 DATA'. The 'EO 13771 DATA' section contains fields for 'Agency: 0910 FDA', 'EO13771 Request ID: 201807-0910-RZ-001', 'Expected Finalization Fiscal Year: 2019', and 'Agency Contact'. There are also checkboxes for 'Final Rule FR Citation' and 'Alternate Final Citation', and a 'Request is considered FINAL once Citation/Finalization Date is provided.' message. At the bottom, there are buttons for 'ECONOMIC DATA', 'SAVE', 'DELETE', 'CHECK FOR COMPLETENESS' (highlighted with a red circle), 'SUBMIT', and 'CANCEL'.

Figure 10.1: Edit EO 13771 Request 'Check for Completeness' Button

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The screenshot shows the 'Edit EO 13771 Request' page in the ROCIS.GOV UAI system. At the top, there is a navigation bar with links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a sub-navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. A breadcrumb trail shows: Home > Reg/Dregs > Package > Current Package > Data.

A red error banner at the top states: "Please specify contact by selecting from available contact(s)." Below this, the page title is "Edit EO 13771 Request".

Related links include "RELATED RIN", "RELATED EO 12866 REVIEW PACKAGE", and "EO 13771 DATA".

Form fields include:

- Agency: 0910 FDA
- EO13771 Request ID: 201807-0910-RZ-001
- Expected Finalization Fiscal Year: 2019
- *Agency Contact: A dropdown menu with a search icon and an "ADD NEW CONTACT" button.
- *Final Rule FR Citation: A text input field with "FR" as a placeholder.
- *Alternate Final Citation: A text input field.
- *Citation/Finalization Date: A text input field.
- *Statutorily/Judicially Required?: A checkbox.
- *Required to set a standard by a specific date?: A checkbox.
- *CRA or related legislative rescission?: A checkbox.
- *CRA Fiscal Year: A text input field.

Links for "Manage Documents" and "Economic Data" are also present.

Figure 10.2: Edit EO 13771 Request with Errors

The screenshot shows the 'Edit EO 13771 Request' page in the ROCIS.GOV UAI system, similar to Figure 10.2. The navigation bar and sub-navigation bar are identical. The breadcrumb trail is: Home > Reg/Dregs > Package > Current Package > Data.

A green success banner at the top states: "Passes Check for Completeness." Below this, the page title is "Edit EO 13771 Request".

Related links include "RELATED RIN", "RELATED EO 12866 REVIEW PACKAGE", and "EO 13771 DATA".

Form fields include:

- Agency: 0910 FDA
- EO13771 Request ID: 201807-0910-RZ-001
- Expected Finalization Fiscal Year: 2019
- *Agency Contact: A dropdown menu with "Applewhite, Kathy - 135086" selected and an "ADD NEW CONTACT" button.
- *Final Rule FR Citation: A text input field with "FR" as a placeholder.
- *Alternate Final Citation: A text input field.
- *Citation/Finalization Date: A text input field.
- *Statutorily/Judicially Required?: A checkbox.
- *Required to set a standard by a specific date?: A checkbox.
- *CRA or related legislative rescission?: A checkbox.
- *CRA Fiscal Year: A text input field.

Links for "Manage Documents" and "Economic Data" are also present.

Figure 10.3: Edit EO 13771 Request with No Errors

The request is now ready to be submitted. Whether the 'Submit' button is available on your screen depends on your level of access to the EO 13771 module. If you do not have the 'Submit' button, save your request and notify an RDR Manager (RDRM) or RDR Agency Admin (RDRA) at your organization that the request is ready to be submitted to OIRA. If you do not

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know who has RDRM or RDRA privileges, refer to the 'HOW TO Use the ROCIS Employee Administration Search' section of this manual for steps on how to perform a search by agency and role.

If the 'Submit' button does appear on your screen, simply select it. If everything looks fine, click 'OK' when asked to confirm. The request will immediately be submitted to OIRA, and you will be transferred to your 'Submitted Request List'.

The screenshot shows the ROCIS.GOV UAI interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), and ADMINISTRATION. The EO 13771 section is active, showing sub-links for REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'Edit EO 13771 Request'. It features a 'RELATED RIN' section with links to 'RELATED EO 12866 REVIEW PACKAGE' and 'EO 13771 DATA'. Below this, there are fields for 'Agency: 0910 FDA', '*Title:', and '*Agency Contact:'. A confirmation dialog box is overlaid on the screen, asking 'Are you sure you want to submit the EO 13771 package to OIRA for review?' with 'OK' and 'Cancel' buttons. The dialog box also contains a warning icon and a message: 'Request is considered FINAL once Citation/Finalization Date is provided.' Below the dialog box, there are radio buttons for 'Final Rule FR Citation' and 'Alternate Final Citation', and a text input field for 'Citation/Finalization Date:'. At the bottom, there are checkboxes for 'Statutory/Judicially Required?', 'Required to set a standard by a specific date?', and 'PRA or related legislative revision?', along with a 'PRA Final Year:' field.

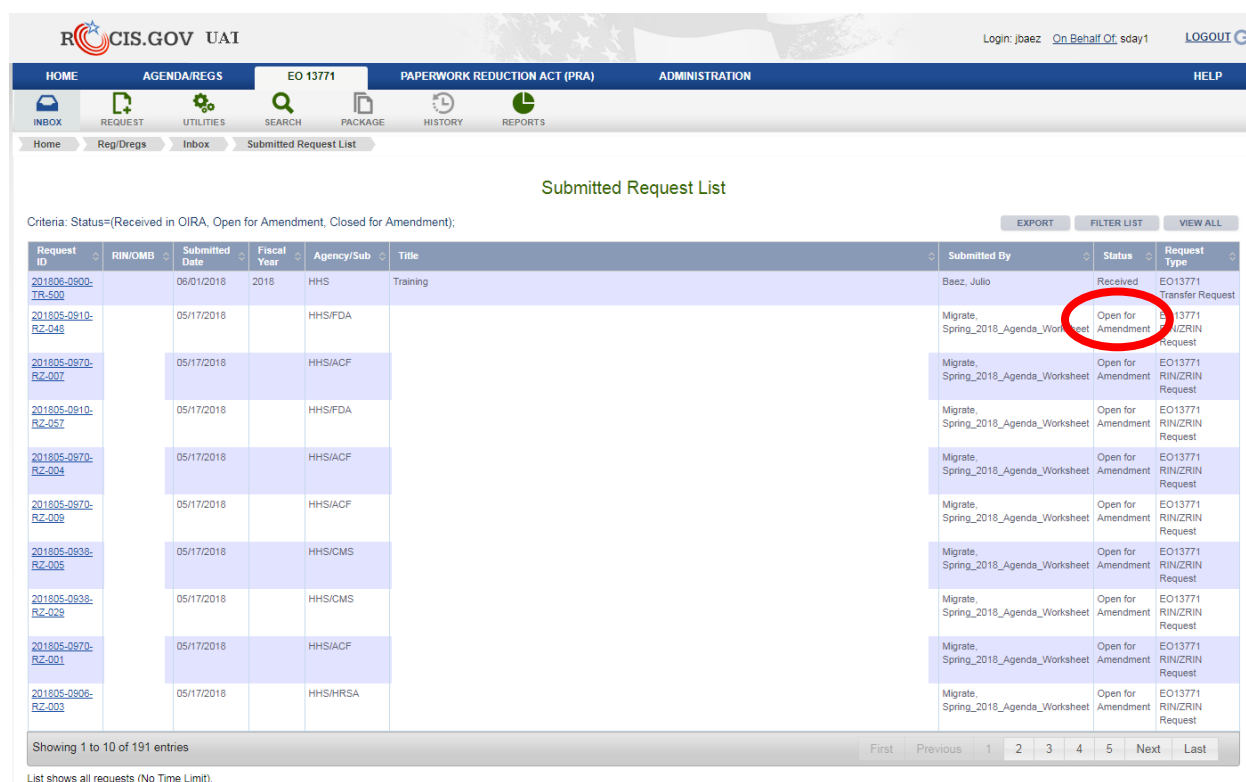
Figure 10.4: Edit EO 13771 Request Screen with Submit Confirmation Message

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11. THE REVIEW PROCESS AND OPEN/CLOSE FOR AMENDMENT

When the EO 13771 request is submitted, the ROCIS system saves the agency submission (request data and documents), and that submission record is never altered. Instead, at the same time, the system makes an exact copy of the submission and provides it to OIRA. While the EO 13771 package is under review, OIRA may request that the agency make changes to the submission. These changes will be made to the OIRA copy of the record. In order for the agency to make changes to the OIRA version of the submission, an OIRA desk officer must open the record for amendment. Such an action on the part of OIRA will show as a change of status in the submitted box for the agency. The status will be changed to 'Open for Amendment'. Once a request has this status, the agency can update the submission by clicking on the Request ID in the submitted list, and making the changes discussed with OIRA.

You will see the status change to 'Open for Amendment' in the status column of the request in your 'Submitted' box.



The screenshot shows the 'Submitted Request List' interface. At the top, there's a navigation bar with 'HOME', 'AGENDA/REGS', 'EO 13771', 'PAPERWORK REDUCTION ACT (PRA)', and 'ADMINISTRATION'. Below this is a sub-navigation bar with 'HOME', 'Reg/Dregs', 'Inbox', and 'Submitted Request List'. The main content area is titled 'Submitted Request List' and includes a criteria filter: 'Criteria: Status=(Received in OIRA, Open for Amendment, Closed for Amendment)'. There are buttons for 'EXPORT', 'FILTER LIST', and 'VIEW ALL'. The table below lists submitted requests with columns for Request ID, RIN/OMB, Submitted Date, Fiscal Year, Agency/Sub, Title, Submitted By, Status, and Request Type. The second row, with Request ID '201805-0810-RZ-048', has a status of 'Open for Amendment', which is circled in red. The table shows 191 entries in total, with the first 10 displayed.

Request ID	RIN/OMB	Submitted Date	Fiscal Year	Agency/Sub	Title	Submitted By	Status	Request Type
201805-0800-TR-500		06/01/2018	2018	HHS	Training	Baez, Julio	Received	EO13771 Transfer Request
201805-0810-RZ-048		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0870-RZ-007		05/17/2018		HHS/ACF		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0810-RZ-057		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0870-RZ-004		05/17/2018		HHS/ACF		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0870-RZ-009		05/17/2018		HHS/ACF		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0830-RZ-005		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0830-RZ-009		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0870-RZ-001		05/17/2018		HHS/ACF		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request
201805-0806-RZ-003		05/17/2018		HHS/HRSA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment	EO13771 RIN/ZRIN Request

Showing 1 to 10 of 191 entries
List shows all requests (No Time Limit)

Figure 11.1: Submitted Request List Screen with Open for Amendment Request

To make changes to the package, select it by clicking on the Request ID.

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Every item can be changed when a submission is opened for amendment.

Users may also upload new versions of documents while the package is 'Open for Amendment'. You should always upload a new version of an existing document when replacing a previous version with an updated version, rather than uploading new documents. Uploading new documents will result in duplicates of document types. To upload a new version, click on the document name. The process to browse your local desktop files will be the same as it was before. When the new document is uploaded, it will show as another version of the same type of document.

When the necessary changes to the review package have been made, an RDR Agency Admin (RDRA) or RDR Manager (RDRM) user should select the 'Resubmit' button at the bottom of the 'Edit EO 13771 Request' screen. This will change the status to 'Closed for Amendment', thus notifying the OIRA desk officer that the changes are completed. The OIRA desk officer also has the ability to change the status to 'Closed for Amendment' at any time.

The screenshot displays the 'Edit EO 13771 Request' interface. At the top, there's a navigation bar with links like HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a sub-navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'Edit EO 13771 Request' and includes sections for 'RELATED RIN', 'RELATED EO 12866 REVIEW PACKAGE', and 'EO 13771 DATA'. The 'EO 13771 DATA' section contains fields for Agency (0910 FDA), Request ID (201805-0910-RZ-048), and Expected Finalization Fiscal Year (2019). There are also links for 'Manage Documents' and 'Economic Data'. A section for 'Agency Contact' includes a search field and an 'ADD NEW CONTACT' button. Below this is a section for 'Final Rule FR Citation' and 'Citation/Finalization Date'. Further down, there are checkboxes for 'Statutory/Judicially Required?', 'Required to set a standard by a specific date?', and 'CRA or related legislative rescission?'. At the bottom, there are buttons for 'ECONOMIC DATA', 'SAVE', 'CHECK FOR COMPLETENESS', 'RESUBMIT AMENDED EO13771 PACKAGE' (highlighted with a red circle), and 'CANCEL'.

Figure 11.2: Edit EO 13771 Request Screen with Resubmit Button

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ROCIS will automatically transfer you back to your 'Submitted' list, where you can view the change in status.

Criteria: Status=(Received in OIRA, Open for Amendment, Closed for Amendment);

Request ID	RIN/OMB	Submitted Date	Fiscal Year	Agency/Sub	Title	Submitted By	Request Type
201805-0910-RZ-048		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Closed for Amendment
201805-0910-RZ-094		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0970-RZ-002		05/17/2018		HHS/IACF		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0945-RZ-003		05/17/2018		HHS/OCR		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0910-RZ-059		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0938-RZ-009		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0910-RZ-024		05/17/2018		HHS/FDA		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0938-RZ-046		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0938-RZ-019		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment
201805-0938-RZ-034		05/17/2018		HHS/CMS		Migrate, Spring_2018_Agenda_Worksheet	Open for Amendment

Showing 1 to 10 of 191 entries

List shows all requests (No Time Limit).

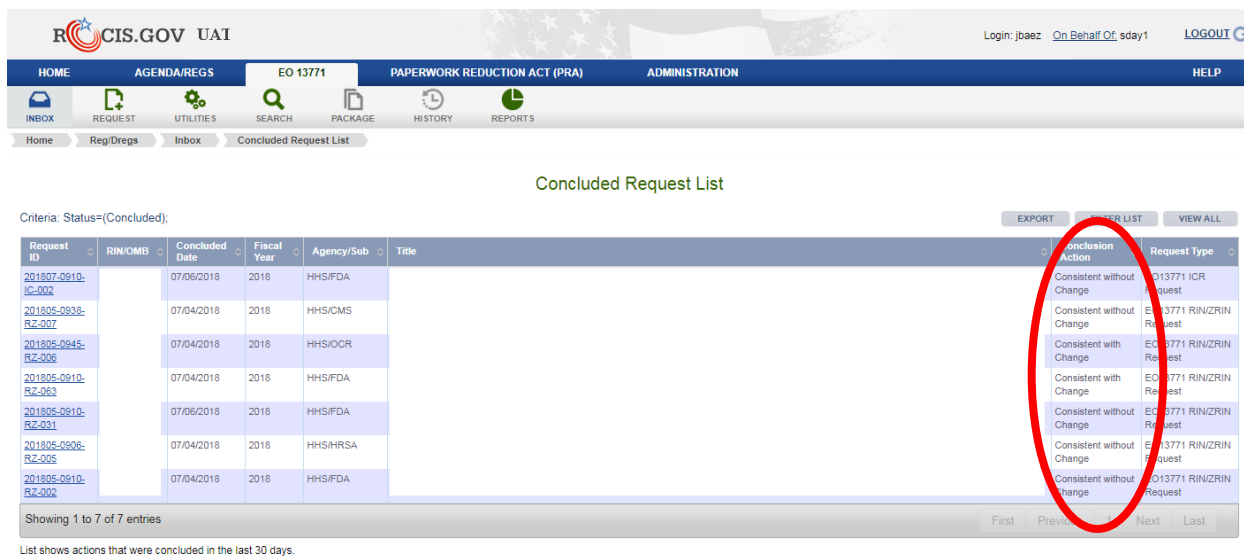
Figure 11.3: Submitted Request List Screen with Closed for Amendment

Once the status is changed to 'Closed for Amendment', the modifications made to the OIRA record will no longer be viewable by the agency. When an agency user views the submission, the user will be looking at the original version of the submission, not the modified copy under review at OIRA. That will be true until the review is concluded by OIRA. Once the review is concluded, the OIRA version of the record will become the default displayed version of the review. However, the agency can always choose to look at the original submission by going to the Package menu in the navigation toolbar and choosing the 'Agency Submitted Package' option.

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12. THE CONCLUSION PROCESS

When OIRA concludes review of the EO 13771 submission, ROCIS will display the submission in the agency's Concluded Request List. The agency can review all the information on the concluded review by clicking on the Request ID. OIRA can conclude the review with any of a number of actions.



The screenshot shows the ROCIS.gov UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'Concluded Request List' and displays a table of concluded requests. A red circle highlights the 'Conclusion Action' column in the table.

Request ID	RIN/OMB	Concluded Date	Fiscal Year	Agency/Sub	Title	Conclusion Action	Request Type
201807-0910-IC-002		07/06/2018	2018	HHS/FDA		Consistent without Change	EO13771 ICR Request
201805-0933-RZ-007		07/04/2018	2018	HHS/CMS		Consistent without Change	EO 13771 RIN/ZRIN Request
201805-0945-RZ-006		07/04/2018	2018	HHS/OCR		Consistent with Change	EO 13771 RIN/ZRIN Request
201805-0910-RZ-063		07/04/2018	2018	HHS/FDA		Consistent with Change	EO 13771 RIN/ZRIN Request
201805-0910-RZ-031		07/06/2018	2018	HHS/FDA		Consistent without Change	EO 13771 RIN/ZRIN Request
201805-0906-RZ-005		07/04/2018	2018	HHS/HRSA		Consistent without Change	EO 13771 RIN/ZRIN Request
201805-0910-RZ-002		07/04/2018	2018	HHS/FDA		Consistent without Change	EO13771 RIN/ZRIN Request

Showing 1 to 7 of 7 entries

List shows actions that were concluded in the last 30 days.

Figure 12.1: Concluded Request List Screen with Conclusion Actions

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13. HOW TO USE THE AGENCY ACCOUNTING TOOL

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the use of the Agency Accounting Tool. This tool provides RDRA users with a means to view their projected End of Fiscal Year (EOFY) accounting for the current fiscal year. To access this page, move your mouse over the 'Utilities' menu in the navigation toolbar and select 'Agency Accounting Tool' from the drop-down menu.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGISTRATION, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The UTILITIES menu is expanded, showing three options: Agency Accounting Tool, Agency Next FY Projection Tool, and Agency Submission Status. The Agency Accounting Tool option is highlighted with a red circle. The main content area displays the 'FY 2018 Agency Submission Status' page, which includes a search bar for 'Agency' and buttons for 'EXPORT SELECTED TAB' and 'EXPORT ALL TABS'. Below this is a table titled 'SECTION: CURRENT STATUS OF ASSIGNED AGENCY SUBMISSIONS' with tabs for 'FY ALLOWANCE', 'EOFY ACCOUNTING', and 'NON-COMPLIANCE TARGET'. The table has columns for AGENCY/SUBAGENCY, FYALLOWANCE STATUS, FYALLOWANCE AMOUNT(\$), FYALLOWANCE SUBMITTEDDATE, FYALLOWANCE CONCLUDEDDATE, 2019 ALLOWANCE EXIST \$, 2019 ALLOWANCE AMOUNT(\$), 2019 ALLOWANCE SUBMITTEDDATE, and 2019 ALLOWANCE CONCLUDEDDATE. The data row shows '0900 - HHS' with a status of 'Concluded-Approved', a submitted date of '09/06/2017', and a concluded date of '09/20/2017'. The total amount is '0.00'. A note at the bottom states: 'List shows all requests (No Time Limit)'.

Figure 13.1: Utilities Menu with Agency Accounting Tool Option

This tool summarizes topline YTD performance as well as counts of regulatory and deregulatory actions.

The Accounting Summary section at the top of the page shows the current FY Allowance, the current FY Non-compliance Target (if applicable) and the previous FY Allowance.

Section 1 of the Agency Accounting Tool lists all approved cost/cost savings requests with a finalization date (i.e. final actions that will count towards your agency's EOFY accounting).

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ROCIS.GOV UAT

Login:jbaz On Behalf Of sday1 LOGOUT

HOME

AGENDA/REGS

EO 13771

PAPERWORK REDUCTION ACT (PRA)

ADMINISTRATION

HELP

INBOX

REQUEST

UTILITIES

SEARCH

PACKAGE

HISTORY

REPORTS

Home

Reg/Dregs

Utilities

Agency Accounting Tool

EXPORT

0900 HHS / 2018 - EO 13771 Agency Accounting Tool

Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent perpetuity

ACCOUNTING SUMMARY:

Fiscal Year (2018) Allowance: (Concluded/Approved)

Fiscal Year (2018) Noncompliance Target:

Fiscal Year (2017) Accounting Balance:

SECTION 1. ISSUED FINAL EO 13771 ACTIONS (FINAL ACTIONS PUBLISHED WITHIN THE FISCAL YEAR)

EO13 ID	RIN/OMB ID	Agency/SubAgency	Title	Finalization	Issue Date	Concluded Date	Citation Date	Citation/Others	Designation	Annualized Costs/Savings(\$)	Work Exemption (\$)	Permanent Exemption (\$)	Monetized Costs/Savings(\$)	
201805-0910-R2-063		0910 - FDA		2018	05/17/2018	07/04/2018								<input checked="" type="checkbox"/>
201805-0938-R2-007		0938 - CMS		2018	05/17/2018	07/04/2018								<input checked="" type="checkbox"/>
201805-0945-R2-006		0945 - OCR		2018	05/17/2018	07/04/2018								<input checked="" type="checkbox"/>
Section 1 - Subtotal														
Section 1 - Final EO Balance (A)														

Figure 13.2: Agency Accounting Tool Screen with Accounting Summary and Section 1

Section 2 lists all approved, non-final cost/cost savings requests for any fiscal year. If OIRA ever approved a non-final action for your agency and you have not yet submitted a final revision (i.e. with FR citation or finalization date) for the same RIN or OMB Control #, it will be listed in section 2. You can check the box to the right of any request in this section to include it in the 'Projected' totals in the YTD Accounting Summary sections at the bottom of the page.

Section 3 lists all cost/cost savings requests pending review at OIRA. You can check the box to the right of any request in this section to include it in the 'Projected' totals in the YTD Accounting Summary sections at the bottom of the page.

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Regulatory Information Service Center (RISC)

0938-RZ-007																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																						</
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Figure 13.3: Agency Accounting Tool Screen with Section 2 and Section 3

Section 4A lists all approved inter-agency transfer requests.

Section 4B lists all inter-agency transfer requests pending review at OIRA. You can check the box to the right of any request in this section to include it in the ‘Projected’ totals in the YTD Accounting Summary sections at the bottom of the page.

Section 5 displays the carryover balance from the previous FY. By default, the projected summary calculations will include carryover balance from previous FY. However, you can enter a different value to see how it impacts the projected summary calculations at the bottom of the page.

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201805-0991-RZ-002	0991 - OS	2019	05/17/2018	N/A	0	0	0	0	<input checked="" type="checkbox"/>
Section 3 - Subtotal									
								Section 3 - Pending EO Projected Balance (C)	
SECTION 4.A EO 13771 INTER-AGENCY TRANSFERS (ACTIONS FOR WHICH REVIEW CONCLUDED WITHIN THE FISCAL YEAR)									
Request ID	From Agency/SubAgency	To Agency/SubAgency	Date	Received Amount(\$)	Transferred Amount(\$)	Net Transfer Amount(\$)	<input checked="" type="checkbox"/>		
No data available in table									
Section 4.a - Subtotal								0	
Section 4.a - Final Agency Transfer Balance (D)								0	
SECTION 4.B EO 13771 INTER-AGENCY TRANSFERS (ACTIONS FOR WHICH REVIEW IS PENDING WITHIN THE FISCAL YEAR)									
Request ID	From Agency/SubAgency	To Agency/SubAgency	Date	Received Amount(\$)	Transferred Amount(\$)	Net Transfer Amount(\$)	<input checked="" type="checkbox"/>		
201806-0900-TR-500	0900 - HHS	0348 - OMB	06/01/2018	0					
Section 4.b - Subtotal								0	
Section 4.b - Concluded/Pending Agency Transfer Projected Balance (E)									
SECTION 5. EO 13771 CARRYOVER (CARRYOVER COSTS (SAVINGS/BANK) FROM PREVIOUS FISCAL YEAR.)									
								INCLUDE CARRYOVER BALANCE? <input checked="" type="checkbox"/>	
Accounting Summary - Fiscal Year (2017) Cumulative Carryover Balance (F)									
Specify portion of carryover balance to include (change default value here) (G)								<input type="text"/>	
YEAR-TO-DATE (YTD) ACCOUNTING TOOL SUMMARY									
COMPLIANCE BALANCE as of 07/06/2018									
								Actual	Projected
Actions									
Final Actions (Published and Final - Section 4(A))									

Figure 13.4: Agency Accounting Tool Screen with Section 4A, Section 4B and Section 5

The summary sections at the bottom of the page are split into 2 columns: 'Actual' and 'Projected'. The 'Actual' column only includes approved, final requests and carryover from previous FY (i.e. Section 1, Section 4A and previous FY carryover balance from Section 5). The 'Projected' column includes the value from the 'Actual' column plus any non-final and/or pending requests selected in Section 2, Section 3 and Section 4b and the portion of carryover entered in Section 5 (if applicable).

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Specify portion of carryover balance to include (if not, default value here) (G)

YEAR-TO-DATE (YTD) ACCOUNTING TOOL SUMMARY			
COMPLIANCE BALANCE as of 07/09/2018			
	Actual	Projected	
Actions			
Final Actions (Published and final, Section 1)(A)			
Concluded Actions (Review concluded, awaiting publication, Section 2)(B)			
Pending Actions (Review pending or in process, Section 3)(C)			
Total Actions (Total balance for Final, Concluded, and/or Pending actions, Sections 1-3)(A+B+C)			
Inter-agency Transfers			
Inter-agency Transfers (Final-action-based transfers, Section 4.a) (D)			
Projected Inter-agency Transfers (Concluded/pending action-based transfers, Section 4.b)(E)			
Total Inter-agency Transfers Balance (Total balance for final and projected transfers, Section 4)(D+E)			
Carryover			
Fiscal Year 2017 Carryover (Previous fiscal year carryover balance as apportioned, Section 5) (F)			
Projected Carryover (Includes concluded/pending actions, Section 5) (G)			
YTD ACCOUNTING (BALANCE BASED ON DESIGNATED SECTIONS WITHIN THIS ACCOUNTING TOOL PAGE)			
	Actual	Projected	
Allowance			
Fiscal Year (2018) Allowance (H): (Concluded/Approved)			
Final Actions (Actual)/ Final + Pending Actions (Projected) (A+C)			
YTD Balance, Net of Allowance (I=A+B+C+H)			
Inter-agency Transfers			
Final Actions (Actual)/ Final + Pending Actions (Projected) (D+E)			
YTD Actual Balance, Net of Allowance and Inter-agency Transfers (J=I+D+E)			

Figure 13.5: Agency Accounting Tool Screen with Actual and Projected Totals

The YTD Accounting Tool Summary section displays a summary of total actions, total transfers and carryover balance.

Specify portion of carryover balance to include (if not, default value here) (G)

YEAR-TO-DATE (YTD) ACCOUNTING TOOL SUMMARY			
COMPLIANCE BALANCE as of 07/09/2018			
	Actual	Projected	
Actions			
Final Actions (Published and final, Section 1)(A)			
Concluded Actions (Review concluded, awaiting publication, Section 2)(B)			
Pending Actions (Review pending or in process, Section 3)(C)			
Total Actions (Total balance for Final, Concluded, and/or Pending actions, Sections 1-3)(A+B+C)			
Inter-agency Transfers			
Inter-agency Transfers (Final-action-based transfers, Section 4.a) (D)			
Projected Inter-agency Transfers (Concluded/pending action-based transfers, Section 4.b)(E)			
Total Inter-agency Transfers Balance (Total balance for final and projected transfers, Section 4)(D+E)			
Carryover			
Fiscal Year 2017 Carryover (Previous fiscal year carryover balance as apportioned, Section 5) (F)			
Projected Carryover (Includes concluded/pending actions, Section 5) (G)			
YTD ACCOUNTING (BALANCE BASED ON DESIGNATED SECTIONS WITHIN THIS ACCOUNTING TOOL PAGE)			

Figure 13.6: Agency Accounting Tool Screen with YTD Accounting Tool Summary

The YTD Accounting (Balance) section displays the net balance with respect to the FY Allowance including inter-agency transfers.

The YTD Accounting Summary section displays the YTD Net Balance including the Carryover Balance. It also shows item counts and the Non-compliance Target (if applicable).

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YTD ACCOUNTING (BALANCE BASED ON DESIGNATED SECTIONS WITHIN THIS ACCOUNTING TOOL PAGE)			
	Actual	Projected	
Allowance			
Fiscal Year (2018) Allowance (H): (Concluded-Approved)			
Final Actions (Actual)/ Final + Pending Actions (Projected) (A+B+C)			
YTD Balance, Net of Allowance (I=A+B+C-H)			
Inter-agency Transfers			
Final Actions (Actual)/ Final + Pending Actions (Projected) (D+E)			
YTD Actual Balance, Net of Allowance and Inter-agency Transfers (J=I+D+E)			
Carryover			
Fiscal Year 2017 Carryover (Previous fiscal year carryover balance as apportioned, Section 5) (F or G)			
YTD ACCOUNTING SUMMARY			
	Actual	Projected	
YTD Actual Balance, Net of Allowance, Interagency Transfers, and Carryover (K=J+F or J+G)			
Counts			
Deregulatory			
Regulatory			
Other-Cost			
Other-Cost Savings			
Inter-agency Transfers			
Non-Compliance Target			
Fiscal Year (2018) Noncompliance Target (L)			
YTD Non-compliance Target Balance (L+K)			

Figure 13.7: Agency Accounting Tool Screen with YTD Accounting (Balance) and YTD Accounting Summary

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The entire Agency Accounting Tool page can be exported to MS Excel.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled '0900 HHS / 2018 - EO 13771 Agency Accounting Tool'. A green 'EXPORT' button is circled in red. Below the title, there is an 'ACCOUNTING SUMMARY' section with fields for Fiscal Year (2018) Allowance, Fiscal Year (2018) Noncompliance Target, and Fiscal Year (2017) Accounting Balance. The main table is titled 'SECTION 1. ISSUED FINAL EO 13771 ACTIONS (FINAL ACTIONS PUBLISHED WITHIN THE FISCAL YEAR)'. It contains columns for EO13 ID, RIN/Other ID, Agency/SubAgency, Title, Expected FY Finalization, Issue Date, Concluded Date, Citation Date, Citation/Others, Designation, Annualized Costs/Savings(\$), Waiver/Temp Exemption (\$), Permanent Exemption (\$), Net Annualized Costs/Savings(\$), and a checkbox. The table lists three actions for 2018: 0910 - FDA, 0938 - CMS, and 0945 - OCR. At the bottom, there is a 'Section 1 - Subtotal' row and a 'Section 1 - Final EO Balance (A)' row. Below the table is 'SECTION 2. CONCLUDED NON-FINAL EO 13771 ACTIONS (NON-FINAL EO 13771 ACTIONS CONCLUDED)'.

Figure 13.8: Agency Accounting Tool Screen with Export Button

14. HOW TO USE THE NEXT FY PROJECTION TOOL

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the use of the Next FY Projection Tool. This tool provides RDRA users with an accounting of anticipated actions to aid in FY Allowance submission and review. To access this page, move your mouse over the 'Utilities' menu in the navigation toolbar and select 'Agency Next FY Projection Tool' from the drop-down menu.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENCY REQUESTS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this, a secondary navigation bar contains icons for INBOX, REQUESTS, UTILITIES, SEARCH, PACKAGES, HISTORY, and REPORTS. The UTILITIES menu is highlighted with a red circle, and its dropdown options are visible: Agency Accounting Tool, Agency Next FY Projection Tool, and Agency Submission Status. The Agency Next FY Projection Tool option is the one being targeted. Below the navigation bar, the main content area displays 'FY 2018 Agency Submission Status' with a search bar and 'EXPORT SELECTED TAB' and 'EXPORT ALL TABS' buttons. A table titled 'SECTION: CURRENT STATUS OF ASSIGNED AGENCY SUBMISSIONS' is shown, with tabs for 'FY ALLOWANCE', 'EOFY ACCOUNTING', and 'NON-COMPLIANCE TARGET'. The table has columns for AGENCY/SUBAGENCY, FYALLOWANCE STATUS, FYALLOWANCE AMOUNT(\$), FYALLOWANCE SUBMITTEDDATE, FYALLOWANCE CONCLUDEDDATE, 2019 ALLOWANCE EXISTS, 2019 ALLOWANCE AMOUNT(\$), 2019 ALLOWANCE SUBMITTEDDATE, and 2019 ALLOWANCE CONCLUDEDDATE. The table shows a total of 0.00 for the 2019 allowance amount.

AGENCY/ SUBAGENCY	FYALLOWANCE STATUS	FYALLOWANCE AMOUNT(\$)	FYALLOWANCE SUBMITTEDDATE	FYALLOWANCE CONCLUDEDDATE	2019 ALLOWANCE EXISTS	2019 ALLOWANCE AMOUNT(\$)	2019 ALLOWANCE SUBMITTEDDATE	2019 ALLOWANCE CONCLUDEDDATE
0900 - HHS	Concluded-Approved		09/06/2017	09/20/2017				
TOTAL						0.00		

Figure 14.1: Utilities Menu with Next FY Projection Tool Option

The Accounting Summary section at the top of the page shows the FY Allowance for the next fiscal year.

Section 1 of the Agency Next FY Projection Tool lists all approved, cost/cost savings waived or temporarily exempted in the current fiscal year (i.e. waivers and temporary exemptions will count towards your agency's EO 13771 accounting for the following fiscal year).

Section 2 lists all approved cost/cost savings requests for the next FY without a finalization date (i.e. not final actions that will not count towards your agency's EOFY accounting). You can check the box to the right of any request in this section to include it in the 'Projected' totals in the YTD Accounting Summary sections at the bottom of the page. You can check the box to the right of any request in this section to include it in the YTD Accounting Tool Summary section at the bottom of the page.

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EXPORT

0900 HHS / 2019 - EO 13771 Agency Next FY Projection Tool

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

ACCOUNTING SUMMARY:

Fiscal Year (2019) Allowance: (Not Created) 0

SECTION 1. ISSUED FINAL EO 13771 ACTIONS (FINAL ACTIONS PUBLISHED WITHIN THE FISCAL YEAR)

EO13 ID	RIN/Other ID	Agency/SubAgency	Title	FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/Other	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)	
201805-0910-RZ-003		0910 - FDA		2018	05/17/2018	07/04/2018								<input checked="" type="checkbox"/>
201805-0945-RZ-006		0945 - OCR		2018	05/17/2018	07/04/2018								<input checked="" type="checkbox"/>
Section 1 - Subtotal														
Section 1 - Final EO Balance (A)														

SECTION 2. CONCLUDED EO 13771 ACTIONS (EO 13771 ACTIONS FOR WHICH REVIEW CONCLUDED WITHIN PREVIOUS FISCAL YEAR AND EXPECTED FY FINALIZATION WITHIN THE FISCAL YEAR)

EO13 ID	RIN/Other ID	Agency/SubAgency	Title	FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/Other	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)	
201805-0906-RZ-005		0906 - HRSA		2019	05/17/2018	07/04/2018		N/A		0	0	0	0	<input type="checkbox"/>

Figure 14.2: Agency Next FY Projection Tool Screen with Accounting Summary, Section 1 and Section 2

Section 3 lists all cost/cost savings requests for the following fiscal year that are still pending review at OIRA. You can check the box to the right of any request in this section to include it in the YTD Accounting Tool Summary section at the bottom of the page.

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Section 2 - Concluded EO Projected Balance (B)

SECTION 3: PENDING EO 13771 ACTIONS (ACTIONS SUBMITTED FOR EO 13771 REVIEW WITH EXPECTED FY FINALIZATION WITHIN THE FISCAL YEAR)

EO13 ID	ID	Agency	Expected Finalization	Issue Date	Concluded Date	Citation	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)	
201805-0910-RZ-003		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-004		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-007		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-009		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-010		0910 - FDA	2019	05/17/2018			N/A						<input type="checkbox"/>
201805-0910-RZ-011		0910 - FDA	2019	05/17/2018			N/A						<input type="checkbox"/>
201805-0910-RZ-012		0910 - FDA	2019	05/17/2018			N/A						<input type="checkbox"/>
201805-0910-RZ-014		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-015		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-016		0910 - FDA	2019	05/17/2018			N/A						<input checked="" type="checkbox"/>
201805-0910-RZ-017		0910 - FDA	2019	05/17/2018			N/A						<input type="checkbox"/>

Figure 14.3: Agency Next FY Projection Tool Screen with Section 3

Section 4 lists anything else that might impact your agency's EO 13771 accounting for the next FY (e.g. pending 2018 requests and approved, non-final 2018 requests). You can check the box to the right of any request in this section to include it in the YTD Accounting Tool Summary section at the bottom of the page.

Section 2 - Concluded EO Projected Balance (B)

SECTION 4: CATCH ALL EO 13771 ACTIONS (ACTIONS SUBMITTED/CONCLUDED FOR EO 13771 REVIEW WITHIN THE PREVIOUS FISCAL YEAR AND EXPECTED FY FINALIZATION WITHIN THE PREVIOUS FISCAL YEAR)

EO13 ID	ID	Agency	Expected Finalization	Issue Date	Concluded Date	Citation	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)	
201804-0930-IC-001		0930 - SAMHSA	2018	04/30/2018	04/30/2018								<input type="checkbox"/>
201805-0906-IC-001		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-IC-002		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-IC-003		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-001		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-002		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-003		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-004		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-006		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-007		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0906-RZ-008		0906 - HRSA	2018	05/17/2018									<input type="checkbox"/>
201805-0910-RZ-001		0910 - FDA	2018	05/17/2018									<input type="checkbox"/>
201805-0910-RZ-005		0910 - FDA	2018	05/17/2018									<input type="checkbox"/>

Figure 14.4: Agency Next FY Projection Tool Screen with Section 4

The YTD Accounting Tool Summary section displays the following information for the next FY based on selections made in section 1 – 4 above: FY Allowance, the total balance of actions

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selected, balance net of FY Allowance and item counts of deregulatory and regulatory actions selected.

0945-RZ-002					
201805-0945-RZ-005	0945 - OCR	2018	05/17/2018	07/03/2018	
201805-0970-RZ-008	0970 - ACF	2018	05/17/2018		
Section 4 - Subtotal					
Section 4 - Catch All EO Projected Balances (D)					
YEAR-TO-DATE (YTD) ACCOUNTING TOOL SUMMARY					
COMPLIANCE BALANCE as of 07/06/2018					
Fiscal Year (2019) Allowance (E): (Not Created)					
All Projected Actions (A+B+C+D)					
YTD Balance, Net of Allowance (A+B+C+D-E)					
Deregulatory Count					
Regulatory Count					

Figure 14.5: Agency Next FY Projection Tool Screen with YTD Accounting Tool Summary

The entire Agency Next FY Projection Tool page can be exported to MS Excel.

EXPORT

0900 HHS / 2019 - EO 13771 Agency Next FY Projection Tool

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

ACCOUNTING SUMMARY:													
Fiscal Year (2019) Allowance: (Not Created) 0													
SECTION 1. ISSUED FINAL EO 13771 ACTIONS (FINAL ACTIONS PUBLISHED WITHIN THE FISCAL YEAR)													
EO13 ID	RIN/Other ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)
201805-0910-RZ-003		0910 - FDA		2018	05/17/2018	07/04/2018							
201805-0945-RZ-002		0945 - OCR		2018	05/17/2018	07/04/2018							
Section 1 - Subtotal													
Section 1 - Final EO Balance (A)													
SECTION 2. CONCLUDED EO 13771 ACTIONS (EO 13771 ACTIONS FOR WHICH REVIEW CONCLUDED WITHIN PREVIOUS FISCAL YEAR AND EXPECTED FY FINALIZATION WITHIN THE FISCAL YEAR)													
EO13 ID	RIN/Other ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption (\$)	Permanent Exemption (\$)	Net Annualized Costs/Savings(\$)
201805-0906-RZ-009		0906 - HRSA		2019	05/17/2018	07/04/2018							

Figure 14.6: Agency Next FY Projection Tool Screen with Export Button

15. HOW TO CREATE, EDIT AND SUBMIT AN FY ALLOWANCE REQUEST

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the ability to submit an FY Allowance request. Your agency's FY Allowance (i.e. cost allowance or cost cap) will be used to determine your agency's compliance with EO 13771 requirements. Any cost/cost savings balance for a given FY over or under the FY Allowance will be applied to your carryover balance from the previous FY. To create an FY Allowance request, move your mouse over the 'Request' menu in the navigation toolbar and select 'FY Allowance' from the drop-down menu.

The screenshot displays the ROCIS.GOV UAT interface. The navigation bar includes 'HOME', 'AGENDA/REG.', 'EO 13771', 'PAPERWORK REDUCTION ACT (PRA)', 'ADMINISTRATION', and 'HELP'. The 'REQUEST' menu is highlighted with a red circle, showing a dropdown list with options: 'RIN EO13771 Package', 'ICR EO13771 Package', 'EOFY Accounting', 'FY Allowance', 'FY Non-Compliance Plan', and 'FY Agency Transfer'. The 'FY Allowance' option is selected. The main content area shows 'FY 2018 Agency Submission Status' with a table of agency submissions.

AGENCY/ SUBAGENCY	FYALLOWANCE STATUS	FYALLOWANCE AMOUNT(\$)	FYALLOWANCE SUBMITTEDDATE	FYALLOWANCE CONCLUDEDDATE	2019 ALLOWANCE EXISTS	2019 ALLOWANCE AMOUNT(\$)	2019 ALLOWANCE SUBMITTEDDATE	2019 ALLOWANCE CONCLUDEDDATE
0900 - HHS	Concluded-Approved		09/06/2017	09/20/2017				
TOTAL						0.00		

List shows all requests (No Time Limit).

Figure 15.1: Request Menu with FY Allowance Option

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On the Allowance Request page, select the fiscal year and agency and click the 'Create' button.

ROCIS.GOV UAT Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request FY Allowance

Allowance Request

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

*Fiscal Year: 2018

*Agency: 0900 HHS

CREATE CANCEL

Figure 15.2: Allowance Request Screen with Create Button

If there is no existing FY Allowance request for the fiscal year and agency selected, the next page you will see is the 'Allowance Request Data' screen. If an existing FY Allowance package is found, click the Request ID link to view it.

ROCIS.GOV UAT Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home Reg/Dregs Request FY Allowance

Allowance Request already exists for this agency HHS for FY 2018.

Allowance Request

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

*Fiscal Year: 2018

*Agency: 0900 HHS

Request ID	Agency	Title	Status	Submitted Date	Concluded Date
201708-0900-AL-001	HHS	HHS FY2018 Allowance Request	Concluded-Approved	09/06/2017	09/20/2017

CREATE CANCEL

Figure 15.3: Allowance Request Screen with Existing Request

If the existing package is in Created or Open for Amendment status, you will be taken to the Allowance Request Data page where you can continue to update the package. If the package is in Received or Closed for Amendment status, you will be presented with a view-only version of the originally submitted package. If the package has already been concluded by OIRA, you will be presented with a view-only version of the concluded package.

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After the request has been successfully created, the user is transferred to the 'Allowance Request Data' screen.

The request title, agency code/acronym and date are displayed, as well as the unique EO 13771 Request ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also on this page is a link to the 'Manage Documents' portion of the EO 13771 process. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771 (selected), PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary menu with INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE (selected), HISTORY, and REPORTS. A breadcrumb trail at the bottom of the menu shows Home > Reg/Dregs > Package > Current Package > Data. The main content area is titled 'HHS FY2019 Allowance Request Data'. It contains a note about monetized values, the request title 'HHS FY2019 Allowance Request', date '07/06/2018', and agency '0900 HHS'. There are links for 'Manage Documents', 'Accounting Tool', and 'Next FY Projection Tool'. A form field for 'FY2019 Allowance Request Amount' is shown with radio buttons for 'Cost' (selected) and 'Savings'. A text box for '(Annualized value in Millions/Year)' is also present. At the bottom are buttons for SAVE, DELETE, SUBMIT, and CANCEL.

Figure 15.4: Allowance Request Data Screen

Select whether the FY Allowance being requested is a 'Cost' (+) or 'Savings' (-).

Enter the absolute value of annualized cost/cost savings in millions for the FY Allowance being requested.

Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process). You will then be ready to add the necessary documents to your request. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

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The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'HHS FY2019 Allowance Request Data'. It contains a note: '*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. Below the note, there is a form with the following fields: Title: HHS FY2019 Allowance Request, Date: 07/06/2018, Allowance Review ID: 201807-0900-AL-001, and Agency: 0900 HHS. There are also links for 'Accounting Tool' and 'Next FY Projection Tool'. The form includes a section for 'FY2019 Allowance Request Amount' with radio buttons for 'Cost' (selected) and 'Savings'. A text input field is present, followed by a label '(Annualized value in Millions/Year)'. At the bottom of the form, there are four buttons: 'SAVE', 'DELETE', 'SUBMIT', and 'CANCEL'. The 'SAVE' button is circled in red.

Figure 15.5: Allowance Request Data Screen with 'Save' Button

The request is now ready to be submitted. Click the 'Submit' button. The request will immediately be submitted to OIRA, and you will be transferred to your 'Submitted Request List'.

This screenshot is identical to the one in Figure 15.5, showing the 'HHS FY2019 Allowance Request Data' screen. The 'SUBMIT' button is circled in red.

Figure 15.6: Allowance Request Data Screen with 'Submit' Button

16. HOW TO CREATE, EDIT AND SUBMIT AN INTER-AGENCY TRANSFER REQUEST

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the ability to submit an Inter-agency Transfer request. Inter-agency transfer requests are used to transfer a portion of your agency's carryover balance (cost or cost savings) to another agency. Upon OIRA approval, your agency's carryover balance will be decreased by the transfer amount and the other agency selected will see an increase in their carryover balance for the same amount. To create an FY Agency Transfer request, move your mouse over the 'Request' menu in the navigation toolbar and select 'FY Agency Transfer' from the drop-down menu.

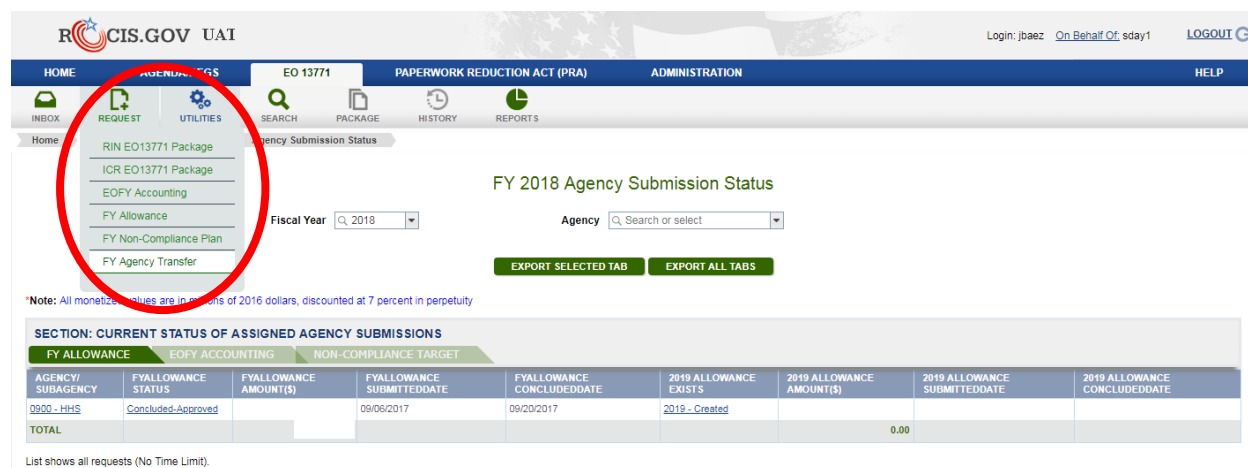


Figure 16.1: Request Menu with FY Agency Transfer Option

On the Agency Transfer Request page, enter the required information:

Title: Enter a title for the inter-agency transfer request that briefly describes the purpose.

From Agency: Select the agency that the portion of the carryover balance will be transferred from.

To Agency: Select the agency that the portion of the carryover balance will be transferred to.

Fiscal Year is determined by ROCIS based on the current FY for the agencies selected.

Transfer Amount: Enter the real value (i.e. use '-' to enter negative amount) of the portion of the From Agency's carryover to transfer to the To Agency.

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Notes: Provide a more detailed description of the purpose for the inter-agency transfer request.

Create your request by selecting the 'Create' Button.

The screenshot shows the 'Agency Transfer Request' form in the ROCIS.GOV UAT interface. The form is titled 'Agency Transfer Request' and includes a note: 'Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. The form fields are as follows:

- *Title: Transfer of Cost Savings to Agency XYZ
- *From Agency: 0900 HHS
- *To Agency: 0331 CEQ
- *Fiscal Year: 2018
- *Transfer Amount: -5 (\$ in Millions)
- *Notes: for training

At the bottom of the form, there are two buttons: 'CREATE' and 'CANCEL'. The 'CREATE' button is circled in red.

Figure 16.2: Agency Transfer Request Data Screen with Create Button

After the request has been successfully created, additional action buttons are displayed on the 'Agency Transfer Request Data' screen. Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process).

The screenshot shows the 'HHS FY2018 Agency Transfer Request Data' screen in the ROCIS.GOV UAT interface. The screen displays the request details and includes a note: 'Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. The request details are as follows:

- Date: 07/06/2018
- Agency: 0900 HHS
- Agency Transfer Review ID: 201807-0900-TR-001
- *Title: Transfer of Cost Savings to Agency XYZ
- *Fiscal Year: 2018
- *Transfer Amount: -5 (\$ in Millions)
- *From Agency: 0900 HHS
- *To Agency: 0331 CEQ
- *Notes: for training

At the bottom of the screen, there are five buttons: 'SAVE', 'CHECK FOR COMPLETENESS', 'DELETE', 'SUBMIT', and 'CANCEL'. The 'SAVE' button is circled in red.

Figure 16.3: Agency Transfer Request Data Screen with Save Button

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The request is now ready to be submitted. Click the 'Submit' button. You will be transferred to your 'Submitted Request List'.

The screenshot displays the ROCIS.GOV UAI interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'HHS FY2018 Agency Transfer Request Data'. It contains a note about monetized values, a date of 07/06/2018, and an agency of 0900 HHS. The form fields include: *Title (Transfer of Cost Savings to Agency XYZ), *Fiscal Year (2018), *Transfer Amount (-5 \$ in Millions), *From Agency (0900 HHS), *To Agency (0331 CEQ), and *Notes (for training). At the bottom, there are five buttons: SAVE, CHECK FOR COMPLETENESS, DELETE, SUBMIT (circled in red), and CANCEL.

Figure 16.4: Agency Transfer Request Data Screen with 'Submit' Button

17. HOW TO CREATE, EDIT AND SUBMIT AN EOFY ACCOUNTING REQUEST

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the ability to submit their agency's End of Fiscal Year (EOFY) Accounting request. This is the last request submitted for a given fiscal year. When your EOFY Accounting request is approved by OIRA, EO 13771 submissions for the given FY are considered final and any new cost/cost savings requests created for the agency will be for the following fiscal year. To create an EOFY Accounting Request request, move your mouse over the 'Request' menu in the navigation toolbar and select 'EOFY Accounting' from the drop-down menu.

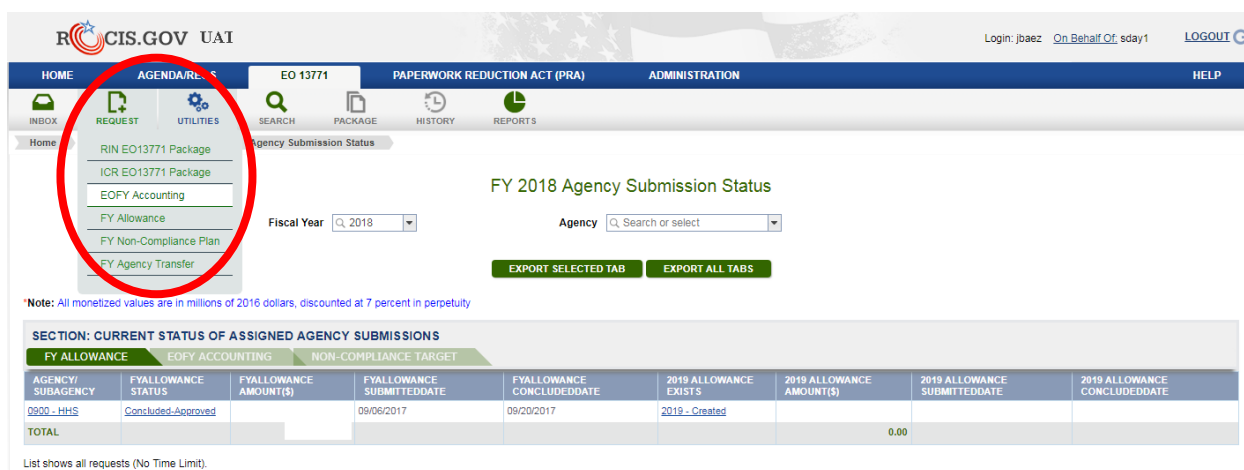


Figure 17.1: Request Menu with EOFY Accounting Option

The Title of the request is automatically generated by ROCIS based on the agency selected.

Fiscal Year is determined by ROCIS based on the current FY for the agency selected.

Agency: Select the agency that you want to finalize EO 13771 reporting for.

Create your request by selecting the 'Create' Button.

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The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area displays the title 'HHS 2018 EOFY Accounting Submission Request'. A note states: '*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. The form fields are: '*Title: HHS 2018 EOFY Accounting Submission', '*Fiscal Year: 2018', and '*Agency: Q 0900 HHS'. At the bottom of the form, there are two buttons: 'CREATE' and 'CANCEL'. The 'CREATE' button is circled in red.

Figure 17.2: EOFY Accounting Submission Request Screen with Create Button

If there is no existing EOFY Accounting request for the agency selected, the next page you will see is the 'EOFY Accounting Submission' screen. If an existing EOFY Accounting package is found, click the Request ID link to view it. If the existing package is in Created or Open for Amendment status, you will be taken to the Allowance Request Data page where you can continue to update the package. If the package is in Received or Closed for Amendment status, you will be presented with a view-only version of the originally submitted package. If the package has already been concluded by OIRA, you will be presented with a view-only version of the concluded package.

After the request has been successfully created, the user is transferred to the 'EOFY Accounting Submission' screen.

The request title, agency code/acronym and date are displayed, as well as the unique EO 13771 Request ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also on this page is a link to the 'Manage Documents' portion of the EO 13771 process. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

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Edit HHS 2018 EOFY Accounting Submission

View EOFY Accounting Submission for: 2018 EXPORT TO EXCEL

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Agency: 0900 HHS
 Created By: Day, Sonny
 Agency Accounting Review ID: 201807-0900-AC-001

Title: HHS 2018 EOFY Accounting Submission
 Created Date: 07/06/2018
[Manage Documents](#)

***Agency Contact:**
 ADD NEW CONTACT

SECTION 1: FY 2018 APPROVED, FINAL EO13771 ACTIONS (FINAL ACTIONS WITH 'REGULATORY' AND 'DEREGULATORY' DESIGNATIONS APPROVED & PUBLISHED WITHIN THE FISCAL YEAR)

EO13771 ID	RIN/Other ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption(\$)	Permanent Exemption(\$)	Net Annualized Costs/Savings(\$)
201805-0910-RZ-083		0910 - FDA		2018	05-17-2018 00:00:00 AM	07-04-2018 10:55:46 AM							
201805-0938-RZ-007		0938 - CMS		2018	05-17-2018 00:00:00 AM	07-04-2018 11:17:36 AM							
201805-0945-		0945 - OCR		2018	05-17-2018	07-04-2018							

Figure 17.3: EOFY Accounting Submission Screen

Agency Contact (required): This should be the individual that the OIRA desk officer can contact with any questions about the EO 13771 request. ROCIS will list others that have been identified as contacts in ROCIS. If the contact's name appears in the list, simply select that person. If the contact is not in the list, create a new contact by selecting the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task on the 'ROCIS Contact Administration' page. Enter some portion of the last name of the individual that you want to add as the Agency Contact, and then click on the 'Search' button.

The search results at the bottom of the screen include all matching ROCIS contacts that have been identified as a contact in the Agenda module, the EO Reg Review module, the PRA module and the Privacy module.

If you see the name that you want to add as a contact, click on the Name link.

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The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for USER PROFILE, CHANGE PASSWORD, RECERTIFICATION, EMPLOYEE ADMIN, OIRA EMPLOYEE, and AGENCIES. The main content area is titled 'ROCIS Contact Administration'. It features a search form with a 'Last Name' field containing 'Contact' and buttons for 'SEARCH' and 'CANCEL'. A note states: 'Note: In order to add a new contact you must first search on the Last Name.' Below this, a message says: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.' There are 'ADD' and 'CANCEL' buttons. A table displays search results with columns: Agency, Name, Phone Number, Email, and Emp No. The table shows one entry: Agency: 0900 HHS, Name: Contact, Susan, Phone Number: 202 555-5555, Email: susan.contact@noemail.com, Emp No: 138678. At the bottom, it says 'Showing 1 to 1 of 1 entries' with pagination links: First, Previous, 1, Next, Last.

Figure 17.4: Contact Administration Screen with Search Results

In this example, Susan Contact was selected. Susan is in ROCIS as a contact for another module. You can make Susan a contact for the EO 13771 module by clicking on the box next to 'EO13771 Contact' and selecting 'Active' radio button.

The screenshot shows the 'Edit Contact Detail' screen in the ROCIS.GOV UAT interface. The top navigation bar is the same as in Figure 17.4. The secondary navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. The main content area is titled 'Edit Contact Detail'. It is divided into several sections: 'Personal Information', 'Address', 'Communications', and 'Contact Modules'. The 'Personal Information' section includes fields for Prefix, First Name (Susan), Middle Name, Last Name (Contact), Suffix, Employee Number (138678), Title, Agency (0900 HHS), and Sub Agency. The 'Address' section includes fields for Street Address, City, State, and Zip. The 'Communications' section includes fields for Telephone (202 555-5555), TDD, Fax, and E-Mail (susan.contact@noemail.com). The 'Contact Modules' section has a table with columns for module names and 'Active/Inactive' radio buttons. The 'EO13771 Contact' row is highlighted with a red circle, and its 'Active' radio button is selected. Other modules include RIN Contact, PRA Contact, and Privacy Contact. At the bottom, there are 'SAVE' and 'CANCEL' buttons.

Figure 17.5: Contact Detail Screen

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Click the 'Save' button to effect the change. After the information is saved, you will be returned to the Edit EO 13771 Request screen.

If you do not see the name that you want to add as a contact in the search results, click the Add button to create a new contact.

ROCIS Contact Administration

Last Name:

Note: In order to add a new contact you must first search on the Last Name.

Please ensure that the contact you want to create is not one of the existing contacts displayed below.

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact Susan	202 555-5555	susan.contact@noemail.com	138678

Showing 1 to 1 of 1 entries

Figure 17.6: Contact Administration Screen with Add Button

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly recommended.

The agency data field has a drop down list from which the agency or subagency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of subagencies. If the contact is associated with the agency code only, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

Click the Create Contact button at the bottom of the screen when you're ready. The new contact will be saved, and you will be returned to the 'Edit EO 13771 Request' screen. The contact that you have selected will be displayed.

Verify the information displayed in the following sections:

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Section 1 of the Agency Accounting Tool lists all approved 'Regulatory' and 'Deregulatory' cost/cost savings requests with a finalization date (i.e. final actions that will count towards your agency's EOFY accounting).

Section 1.1 lists all approved, final cost/cost savings requests designated as 'Other' (i.e. not 'Regulatory' or 'Deregulatory').

Section 1.2 lists all approved inter-agency transfer requests.

Agency Contact:

SECTION 1: FY 2018 APPROVED, FINAL EO13771 ACTIONS (FINAL ACTIONS WITH 'REGULATORY' AND 'DEREGULATORY' DESIGNATIONS APPROVED & PUBLISHED WITHIN THE FISCAL YEAR)

EO13771 ID	ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption	Permanent Exemption(\$)	Net Annualized Costs/Savings(\$)
201805-0610-RZ-063		0938 - CMS		2018	05-17-2018 00:00:00 AM	07-04-2018 11:17:36 AM							
201805-0638-RZ-007		0938 - CMS		2018	05-17-2018 00:00:00 AM	07-04-2018 11:17:36 AM							
201805-0645-RZ-008		0945 - OCR		2018	05-17-2018 00:00:00 AM	07-04-2018 10:51:52 AM							
Total													

Showing 1 to 3 of 3 entries

SECTION 1.1: FY 2018 APPROVED, FINAL EO13771 OTHER ACTIONS (FINAL ACTIONS WITH 'OTHER WITH COST/COSTSAVINGS' DESIGNATION APPROVED & PUBLISHED WITHIN THE FISCAL YEAR)

EO13771 ID	EO13771 ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp Exemption	Permanent Exemption(\$)	Net Annualized Costs/Savings(\$)
No FY 2018 Final 'Other Cost/CostSavings' Actions records found													
Total										0.00	0.00	0.00	0.00

Showing 1 to 1 of 1 entries

SECTION 1.2: CURRENT FY 2018 APPROVED, FINAL INTER-AGENCY TRANSFER ACTIONS (FINAL ACTIONS WITH INTER-AGENCY TRANSFERS APPROVED & PUBLISHED WITHIN THE FISCAL YEAR)

Request ID	Agency/SubAgency	Title	Issue Date	Concluded Date	To Agency/SubAgency	Received Amount(\$)	Forwarded Amount(\$)	Net Transfer Amount(\$)
201805-0600-TR-500	0900 - HHS	Training	06-01-2018 14:49:14 PM	07-06-2018 16:54:46 PM	0348 - OMB			
Total							3.00	-3.00

Showing 1 to 1 of 1 entries

Figure 17.7: EOFY Accounting Submission Screen with Section 1, Section 1.1 and Section 1.2

Section 2 lists all pending, final cost/cost savings requests.

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Showing 1 to 1 of 1 entries

SECTION 2: FY 2018 PENDING FINAL ACTIONS (FINAL ACTIONS WITH 'REGULATORY, DEREGULATORY & OTHER WITH COST/COST SAVINGS' DESIGNATION CREATED & SUBMITTED WITHIN THE FISCAL YEAR)

EO13771 ID	RIN/Other ID	Agency/SubAgency	Finalization Date	Expected Finalization Date	Proposed Date	Effective Date	Others	Agency Reason	Costs/Savings(\$)	Carryover/Temp Exemption(\$)	Permanent Exemption(\$)	Net Annualized Costs/Savings(\$)
201805-0910-RZ-065		0910 - FDA	2018	05-17-2018 00:00:00 AM								
201805-0910-RZ-064		0910 - FDA	2018	05-17-2018 00:00:00 AM								
201805-0910-RZ-069		0910 - FDA	2018	05-17-2018 00:00:00 AM								
201805-0917-RZ-005		0917 - IHS	2018	05-17-2018 00:00:00 AM								
201805-0938-RZ-022		0938 - CMS	2018	05-17-2018 00:00:00 AM								
201805-0938-RZ-023		0938 - CMS	2018	05-17-2018 00:00:00 AM								
201805-0938-RZ-046		0938 - CMS	2018	05-17-2018 00:00:00 AM								
201805-0938-RZ-046		0938 - CMS	2018	05-17-2018 00:00:00 AM								

Figure 17.8: EOFY Accounting Submission Screen with Section 2

Section 2.1 lists all pending inter-agency transfer requests.

Showing 1 to 13 of 13 entries

SECTION 2.1: CURRENT FY 2018 PENDING, FINAL INTER-AGENCY TRANSFER ACTIONS (FINAL ACTIONS WITH INTER-AGENCY TRANSFERS CREATED & SUBMITTED WITHIN THE FISCAL YEAR)

Request ID	From Agency/SubAgency	Type	Trans Date	Trans Amount	To Agency/SubAgency	Received Amount(\$)	Transferred Amount(\$)	Net Transfer Amount(\$)
201807-0900-TR-002	0900 - HHS	Test	07-06-2018 16:59:19 PM		0412 - AID		5.00	-5.00
					Total	0.00	5.00	-5.00

Showing 1 to 1 of 1 entries

ACCOUNTING BALANCE SUMMARY AS OF 07/06/2018

FY 2017 Carryover Balance	
FY 2017 Accounting Balance	
FOR ALLOWANCE	
FY 2018 Allowance	
FY 2018 Accounting Balance	
FY 2018 Accounting Balance(Accounting Net of Allowance)	

END INTER AGENCY TRANSFERS

Figure 17.9: EOFY Accounting Submission Screen with Section 2.1

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The Accounting Balance Summary section displays compliance metrics, including previous FY carryover balance, current FY Allowance, total inter-agency transfers, final current FY carryover balance and item counts of final actions approved for the current FY.

Showing 1 to 1 of 1 entries

ACCOUNTING BALANCE SUMMARY AS OF 07/06/2018	
FY 2017 Carryover Balance	
FY 2017 Accounting Balance	
FOR ALLOWANCE	
FY 2018 Allowance	
FY 2018 Accounting Balance	
FY 2018 Accounting Balance (Accounting Net of Allowance)	
FOR INTER-AGENCY TRANSFERS	
FY 2018 Inter-Agency Transfer	
FY 2018 Accounting Balance (Accounting Net of Inter-Agency Transfers)	
FOR CARRYOVER	
FY 2017 Carryover Balance	
FY 2018 Accounting Balance (Net of Inter-Agency Transfers and Carryover Balance)	
FY 2018 FINAL (CARRYOVER) BALANCE	
(Includes Inter-Agency transfers, prior year Carryovers, Adjustments)	
FINAL ACTIONS COUNT	
Total # of Disregulatory Actions for FY 2018	
Total # of Regulatory Actions for FY 2018	
Total # of Other with Cost Actions for FY 2018	
Total # of Other with Cost Savings Actions for FY 2018	

EOFY Accounting Notes (Maximum 2000 characters):

Figure 17.10: EOFY Accounting Submission Screen with Accounting Balance Summary

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EOFY Accounting Notes: Enter any additional notes regarding the EOFY Accounting Submission for OIRA to consider during review.

Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process). You will then be ready to add the necessary documents to your request. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

The screenshot displays the EOFY Accounting Submission interface. It features a table for accounting balances and actions, followed by a text area for notes and a row of action buttons. The 'SAVE' button is highlighted with a red circle.

FY 2018 Accounting Balance(Accounting Net of Allowance)	
FOR INTER-AGENCY TRANSFERS	
FY 2018 Inter-Agency Transfer	
FY 2018 Accounting Balance(Accounting Net of Inter-Agency Transfers)	
FOR CARRYOVER	
FY 2017 Carryover Balance	
FY 2018 Accounting Balance(Net of Inter-Agency Transfers and Carryover Balance)	
FY 2018 FINAL (CARRYOVER) BALANCE	
(Includes Inter-Agency transfers, prior year Carryovers, Adjustments)	
FINAL ACTIONS COUNT	
Total # of Deregulatory Actions for FY 2018	
Total # of Regulatory Actions for FY 2018	
Total # of Other with Cost Actions for FY 2018	
Total # of Other with CostSavings Actions for FY 2018	

EOFY Accounting Notes (Maximum 2000 characters):

SAVE DELETE CHECK FOR COMPLETENESS SUBMIT CANCEL

Submit button is disabled as there are pending final actions exists for approval.

Figure 17.11: EOFY Accounting Submission Screen with 'Save' Button

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The request is now ready to be submitted. Click the 'Submit' button on the 'EOFY Accounting Submission' screen. The request will be submitted to OIRA, and you will be transferred to your 'Submitted Request List'.

The entire EOFY Accounting Submission screen can be exported to MS Excel.

The screenshot shows the 'Edit HHS 2018 EOFY Accounting Submission' screen. At the top, there is a navigation bar with tabs for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), and ADMINISTRATION. Below this is a sub-navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area has a breadcrumb trail: Home > Reg/Dregs > Package > Current Package > Data. The title of the page is 'Edit HHS 2018 EOFY Accounting Submission'. Below the title, there is a section for 'View EOFY Accounting Submission for: 2018' with a dropdown menu and a green 'EXPORT TO EXCEL' button circled in red. To the left of this section, there is a note: 'Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity'. Below the note, there is a form for 'Agency Contact' with a search box and an 'ADD NEW CONTACT' button. To the right of the 'Agency Contact' form, there is a section for 'Title: HHS 2018 EOFY Accounting Submission' and 'Created Date: 07/06/2018'. Below this, there is a table with the following columns: EO13771 ID, RIN/Other ID, Agency/SubAgency, Title, Expected FY Finalization, Issue Date, Concluded Date, Citation Date, Citation/ Others, Designation, Annualized Costs/Savings(\$), Waiver/Temp. Exemption(\$), Permanent Exemption(\$), and Net Annualized Costs/Savings(\$). The table contains three rows of data:

EO13771 ID	RIN/Other ID	Agency/SubAgency	Title	Expected FY Finalization	Issue Date	Concluded Date	Citation Date	Citation/ Others	Designation	Annualized Costs/Savings(\$)	Waiver/Temp. Exemption(\$)	Permanent Exemption(\$)	Net Annualized Costs/Savings(\$)
201805-0910-RZ-063		0910 - FDA		2018	05-17-2018 00:00:00 AM	07-04-2018 10:55:46 AM							
201805-0938-RZ-007		0938 - CMS		2018	05-17-2018 00:00:00 AM	07-04-2018 11:17:36 AM							
201805-0945		0945 - OCR		2018	05-17-2018	07-04-2018							

Figure 17.12: EOFY Accounting Submission Screen with Export Button

18. HOW TO CREATE, EDIT AND SUBMIT A NON-COMPLIANCE TARGET REQUEST

RDR Agency Admin (RDRA) users have access to additional features in the EO 13771 module, including the ability to submit their agency's Non-compliance Plan and Target request for a given fiscal year. The Non-compliance Target request can be used to submit your agency's plan to recover out-of-compliance costs from previous fiscal year(s). To create a Non-compliance Target Request, move your mouse over the 'Request' menu in the navigation toolbar and select 'FY Non-compliance Plan' from the drop-down menu. You can only create a Non-compliance Target request if your agency has a cost carryover (i.e. positive carryover balance) from the previous fiscal year.

The screenshot shows the ROCIS.GOV UAT interface. The 'REQUEST' menu is highlighted with a red circle, and its dropdown options are visible: 'RIN EO13771 Package', 'ICR EO13771 Package', 'EOFY Accounting', 'FY Allowance', 'FY Non-Compliance Plan', and 'FY Agency Transfer'. The 'FY Non-Compliance Plan' option is selected. The main content area displays 'FY 2018 Agency Submission Status' with a 'Fiscal Year' dropdown set to '2018' and an 'Agency' search field. Below this is a table titled 'SECTION: CURRENT STATUS OF ASSIGNED AGENCY SUBMISSIONS' with tabs for 'FY ALLOWANCE', 'EOFY ACCOUNTING', and 'NON-COMPLIANCE TARGET'. The 'FY ALLOWANCE' tab is active, showing a table with columns for Agency/Subagency, FY Allowance Status, FY Allowance Amount (\$), FY Allowance Submitted Date, FY Allowance Concluded Date, 2019 Allowance Exists, 2019 Allowance Amount (\$), 2019 Allowance Submitted Date, and 2019 Allowance Concluded Date. The table lists two agencies: 0900 - HHS and 1900 - DOE, both with a status of 'Concluded-Approved'. The total amount is 0.00.

AGENCY/ SUBAGENCY	FY ALLOWANCE STATUS	FY ALLOWANCE AMOUNT(\$)	FY ALLOWANCE SUBMITTEDDATE	FY ALLOWANCE CONCLUDEDDATE	2019 ALLOWANCE EXISTS	2019 ALLOWANCE AMOUNT(\$)	2019 ALLOWANCE SUBMITTEDDATE	2019 ALLOWANCE CONCLUDEDDATE
0900 - HHS	Concluded-Approved		09/06/2017	09/20/2017	2019 - Created			
1900 - DOE	Concluded-Approved		09/06/2017	09/20/2017	2019 - Created			
TOTAL						0.00		

Figure 18.1: Request Menu with FY Non-compliance Plan Option

The Title of the request is automatically generated by ROCIS based on the agency selected.

Fiscal Year is determined by ROCIS based on the current FY for the agency selected.

Agency: Select the agency that you want to submit the Non-compliance Target request for.

Create your request by selecting the 'Create' Button.

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The screenshot displays the ROCIS.GOV UAT interface. At the top, there is a navigation bar with links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area shows the title 'DOE 2018 Agency Non-Compliance Target Request'. Below the title, there are fields for 'Title:', 'Fiscal Year:', and 'Agency:'. The 'Agency:' field is a dropdown menu with '1900 DOE' selected. At the bottom of the form, there are two buttons: 'CREATE' and 'CANCEL'. The 'CREATE' button is circled in red.

Figure 18.2: Agency Non-compliance Target Request Screen with Create Button

If there is no existing Non-compliance Target request for the agency selected, the next page you will see is the 'Non-compliance Target Request' screen. If an existing Non-compliance Target package is found, click the Request ID link to view it. If the existing package is in Created or Open for Amendment status, you will be taken to the 'Non-compliance Target Request' page where you can continue to update the package. If the package is in Received or Closed for Amendment status, you will be presented with a view-only version of the originally submitted package. If the package has already been concluded by OIRA, you will be presented with a view-only version of the concluded package.

After the request has been successfully created, the user is transferred to the 'Non-compliance Target Request' screen.

The request title, agency code/acronym and date are displayed, as well as the unique EO 13771 Request ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also on this page is a link to the 'Manage Documents' portion of the EO 13771 process. A Non-compliance Target Plan document must be uploaded on the Manage Documents page for all Non-compliance Target Requests. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

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ROCIS.GOV UAT

Login: jbaez On Behalf Of: sday1 LOGOUT

HOME AGENDA/REGS EO 13771 PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION HELP

INBOX REQUEST UTILITIES SEARCH PACKAGE HISTORY REPORTS

Home > Reg/Dregs > Package > Current Package > Data

FY 2018 DOE Non-Compliance Target Request

*Note: All monetized values are in millions of 2016 dollars, discounted at 7 percent in perpetuity

Agency: 1900 DOE
Created By: Day, Sonny

Title: Agency Non-Compliance Target Request
Created Date: 07/06/2018
Non-Compliance Target Request Id: 201807-1900-NC-003
[Manage Documents](#)

*Agency Contact:
Search or select [ADD NEW CONTACT](#)

FY 2017 Non-Compliance Target Balance(\$): (Millions/Year)

Fiscal Year: 2018 Enter Non-Compliance Target Amount(\$): (Millions/Year)

[SAVE](#) [DELETE](#) [CHECK FOR COMPLETENESS](#) [SUBMIT](#) [CANCEL](#)

Figure 18.3: Non-compliance Target Request Screen

Agency Contact (required): This should be the individual that the OIRA desk officer can contact with any questions about the EO 13771 request. ROCIS will list others that have been identified as contacts in ROCIS. If the contact's name appears in the list, simply select that person. If the contact is not in the list, create a new contact by selecting the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task on the 'ROCIS Contact Administration' page. Enter some portion of the last name of the individual that you want to add as the Agency Contact, and then click on the 'Search' button.

The search results at the bottom of the screen include all matching ROCIS contacts that have been identified as a contact in the Agenda module, the EO Reg Review module, the PRA module and the Privacy module.

If you see the name that you want to add as a contact, click on the Name link.

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The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for USER PROFILE, CHANGE PASSWORD, RECERTIFICATION, EMPLOYEE ADMIN, OIRA EMPLOYEE, and AGENCIES. The main content area is titled 'ROCIS Contact Administration'. It features a search form with a 'Last Name' field containing 'Contact' and buttons for 'SEARCH' and 'CANCEL'. Below the search form is a note: 'Note: In order to add a new contact you must first search on the Last Name.' and a warning: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.' Below this is a table with one entry:

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact, Susan	202 555-5555	susan.contact@noemail.com	138678

Below the table, it says 'Showing 1 to 1 of 1 entries' and has pagination links: First, Previous, 1, Next, Last.

Figure 18.4: Contact Administration Screen with Search Results

In this example, Susan Contact was selected. Susan is in ROCIS as a contact for another module. You can make Susan a contact for the EO 13771 module by clicking on the box next to 'EO13771 Contact' and selecting 'Active' radio button.

The screenshot shows the 'Edit Contact Detail' screen. It has a top navigation bar similar to Figure 18.4. The main content area is titled 'Edit Contact Detail'. It is divided into several sections:

- Personal Information:** Fields for Prefix, First Name (Susan), Middle Name, Last Name (Contact), Suffix, Employee Number (138678), Title, Agency (0900 HHS), and Sub Agency.
- Address:** Fields for Street Address, City, State, and Zip.
- Communications:** Fields for Telephone (202 555-5555), TDD, Fax, and E-Mail (susan.contact@noemail.com).
- Contact Modules:** A table with checkboxes and radio buttons for different modules. The 'EO13771 Contact' row is highlighted with a red circle, and its 'Active' radio button is selected.

At the bottom, there are 'SAVE' and 'CANCEL' buttons.

Figure 18.5: Contact Detail Screen

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Click the 'Save' button to effect the change. After the information is saved, you will be returned to the Edit EO 13771 Request screen.

If you do not see the name that you want to add as a contact in the search results, click the Add button to create a new contact.

Agency	Name	Phone Number	Email	Emp No
0900 HHS	Contact Susan	202 555-5555	susan.contact@noemail.com	138678

Showing 1 to 1 of 1 entries

Figure 18.6: Contact Administration Screen with Add Button

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly recommended.

The agency data field has a drop down list from which the agency or subagency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of subagencies. If the contact is associated with the agency code only, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

Click the Create Contact button at the bottom of the screen when you're ready. The new contact will be saved, and you will be returned to the 'Edit EO 13771 Request' screen. The contact that you have selected will be displayed.

Non-compliance Target Amount: Enter the amount of cost carryover (i.e. positive carryover balance) your agency plans to recover in cost savings for the given fiscal year.

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Save your request by selecting the 'Save' Button. (Data can be saved at any time during this process). You will then be ready to add the necessary documents to your request. Those steps are discussed in the 'HOW TO Electronically Attach (Upload) Documents' chapter in this manual.

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, EO 13771, PAPERWORK REDUCTION ACT (PRA), ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, REQUEST, UTILITIES, SEARCH, PACKAGE, HISTORY, and REPORTS. The main content area is titled 'FY 2018 DOE Non-Compliance Target Request'. It contains a note about monetized values, agency information (Agency: 1900 DOE, Created By: Day, Sonny), and a title field (Title: Agency Non-Compliance Target Request). There is also a 'Created Date' field (07/06/2018) and a 'Non-Compliance Target Request Id' (201807-1900-NC-003). A dropdown menu for 'Agency Contact' is shown with a search bar and an 'ADD NEW CONTACT' button. Below this, there are fields for 'FY 2017 Non-Compliance Target Balance(\$):' and 'Fiscal Year: 2018'. A text input field for 'Enter Non-Compliance Target Amount(\$):' is also present. At the bottom, there are five buttons: SAVE, DELETE, CHECK FOR COMPLETENESS, SUBMIT, and CANCEL. The 'SAVE' button is circled in red.

Figure 18.7: Non-compliance Target Request Screen with 'Save' Button

The request is now ready to be submitted. Click the 'Submit' button on the 'Non-compliance Target Request' screen. The request will be submitted to OIRA, and you will be transferred to your 'Submitted Request List'.

This screenshot is identical to the one above, showing the 'FY 2018 DOE Non-Compliance Target Request' screen. The only difference is that the 'SUBMIT' button at the bottom is circled in red instead of the 'SAVE' button.

Figure 18.8: Non-compliance Target Request Screen with 'Submit' Button

APPENDIX A: EO 13771 AGENCY ROLES

There are three roles within ROCIS that are specifically associated with the agency portion of the EO 13771 module:

RDRP (RDR Entry Processor) – This individual can create and update EO 13771 cost/cost savings requests. To obtain a ROCIS account, he has to go through his agency's RDR Agency Admin (see role description below), sign a security agreement, and attend training.

RDRM (RDR Manager) – This individual can do everything that an RDRP user can. He can also submit EO 13771 cost/cost savings requests to OIRA for review. To obtain a ROCIS account, he has to go through his agency's RDR Agency Admin (see role description below), sign a security agreement, and attend training.

RDRA (RDR Agency Admin) – This individual can do everything that an RDRP and RDRM user can. He can also create, edit and submit yearly EO 13771 requests, including: FY Allowance, Inter-agency Transfers, EOFY (Final) Accounting and Non-compliance Target Plans. To obtain a ROCIS account, he has to go through his agency's primary point-of-contact for the Unified Agenda, sign a security agreement, and attend training.

This person is the primary point of contact for an agency with regard to new accounts. If someone from an agency wants access to the EO 13771 module, the request must be made through the RDR Agency Admin. The RDRA will inform the ROCIS technical team of the user's role and, if applicable, the subagencies within the agency to which the user should have access (this applies mostly to Cabinet agencies and EPA).

A change in an agency RDRA is normally handled by the outgoing RDRA, who notifies the ROCIS technical team of his replacement. If there is any question about who is the RDRA for an agency, the ROCIS technical team will request an email from the agency's primary point-of-contact for the Unified Agenda naming the new RDRA.